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ABSTRACT

This manual provides information on factors particularly relevant to focal point service delivery such as cooperative planning, interagency linkages, shared service delivery, accountability, and community relationships. An introduction describes what community focal points for service delivery are and how they are intended to fit into community service systems. The two sections in Unit I define management functions in terms of the management of focal point agencies and identify and describe the community focal point manager's roles. Unit II looks at coordination strategies in three contexts: implications of planning in cooperation with the various organizations and constituencies in the community, methods for developing and maintaining interagency linkages, and accountability of the community focal point for fulfilling its obligations to the community it serves. Unit III focuses on access to comprehensive service delivery systems. Five sections discuss outreach, information and referral, case management, advocacy, and volunteers. Unit IV addresses operations and some issues that arise from the very public nature of a community focal point for service delivery. Three sections consider interagency consideration, fund raising, and public relations. A glossary is provided, followed by four appendixes that contain materials corresponding to issues discussed in each of the four units. (YLB)

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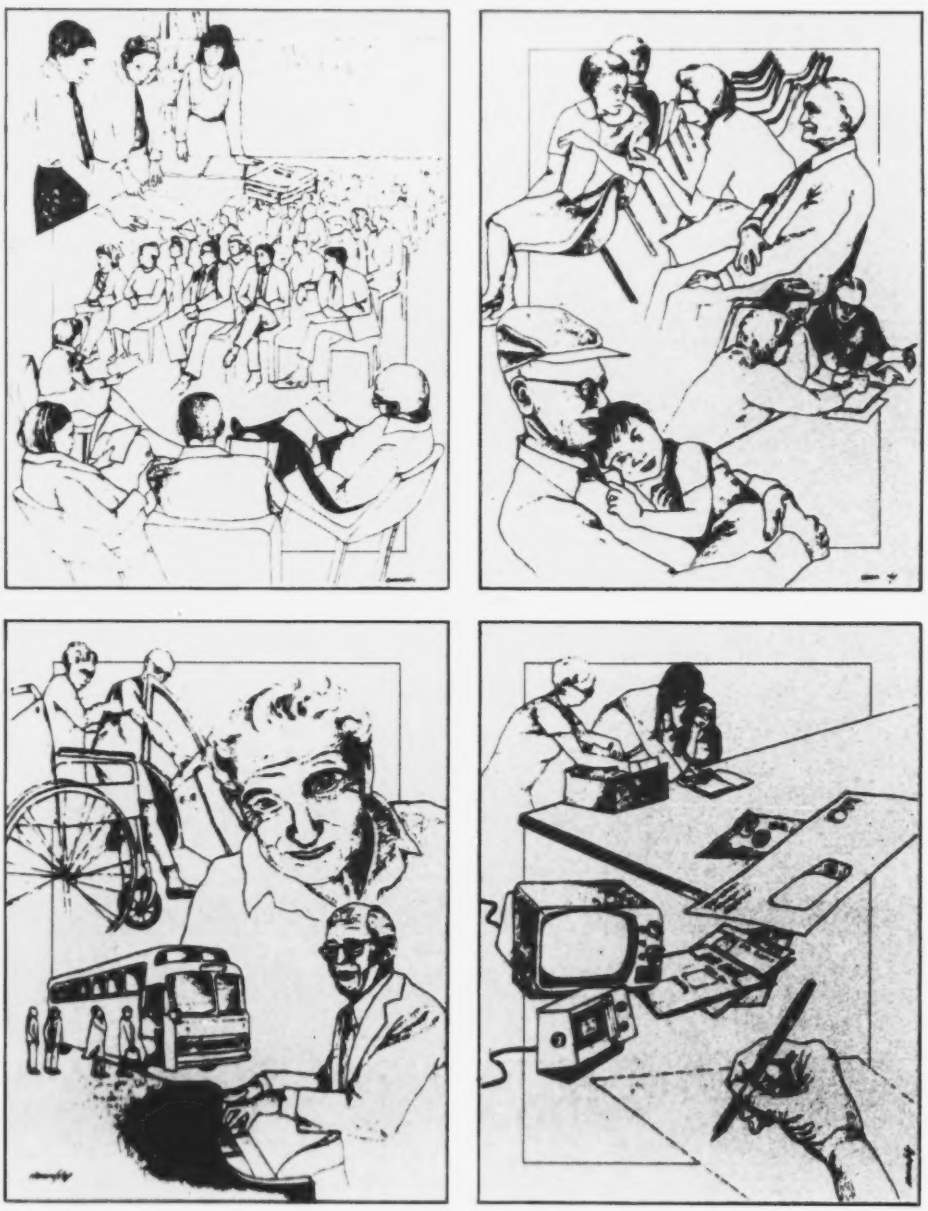
A Resource Manual



COMPREHENSIVE SERVICE DELIVERY THROUGH SENIOR CENTERS AND OTHER COMMUNITY FOCAL POINTS: A RESOURCE MANUAL

SENIOR CENTER AND COMMUNITY FOCAL POINT
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Comprehensive Service Delivery Through Senior Centers and Other Community Focal Points: A Resource Manual

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PREFACE

The 1978 Amendments to the Older Americans Act included a new requirement in the section on Area Plans: "Each area agency designated under Section 305 (a)(2)(A) shal...designate, where feasible, a focal point for comprehensive service delivery in each community to encourage the maximum collocation and coordination of services for older individuals, and give special consideration to designating multipurpose senior center as such focal point;"...

In the summer of 1980, after final regulations were published, the Administation on Aging awarded a cooperative agreement project to the National Council on the Aging, Inc., to produce instructional materials and training activities to meet the needs of people and organizations involved in the development of community focal points. The agreement also calls for at least one workshop in each federal regional on the use of the materials and curriculum. The National Association of Area Agencies on Aging collaborated by participating in a survey of area agencies and indentifying examples of best practices in determining focal point designations.

The products resulting from this project are:

oThe concept paper titled COMMUNITY FOCAL POINTS FOR THE DELIVERY OF SERVICES TO OLDER PEOPLE;

oThe COMMUNITY FOCAL POINT DESIGNATION HANDBOOK, developed by N4A, which sets forth processes used in selected communities, to designate focal point agencies;

oCOMPREHENSIVE SERVICE DELIVERY THROUGH SENIOR CENTERS AND OTHER COMMUNITY FOCAL POINTS: A Resource Manual addressing information particularly relevant to focal point operation such as cooperative planning, interagency linkages, shared service delivery, accountability to multiple constituencies and community relationships;

oCOMPREHENSIVE SERVICE DELIVERY THROUGH SENIOR CENTERS AND OTHER COMMUNITY FOCAL POINTS: A Trainers Guide including instructional materials and approaches for use or adaptation by continuing educators, trainers, state units, AAA's or others responsible for staff development within their own state or localities;

oMAXIMIZING THE EFFECTIVENESS OF A TRAINING EVENT: A Participants Handbook which describes procedures to be used by the trainer to prepare for a training event. Its purpose is to enhance the transference of the knowledge and skill learned during training to actual "on-the-job" situations.

oTen regional workshops on use of the materials.

INTRODUCTION

THE PLACE OF A FOCAL POINT IN THE COMMUNITY CARE SYSTEM

This introduction presents a basic framework for understanding community focal points for service delivery -- what they are and how they are intended to fit into community service systems. All of the units that follow assume this understanding in discussing various interagency and intraagency aspects of focal point management. 1/

Development of the Focal Point Concept

The 1978 Amendments to the Older Americans Act (OAA) charged area agencies on aging (AAA) to:

...designate, where feasible, a focal point for comprehensive service delivery in each community to encourage the maximum collocation and coordination of services for older individuals. (OAA 1978, Sec. 306(3))

The term "focal point" officially entered the aging lexicon in the 1973 Amendments to the Older Americans Act. Congress authorized Title V 2/ to provide funds for acquiring and/or altering existing facilities to serve as multipurpose senior centers "in order to provide a focal point in communities for the development and delivery of social services and nutritional services designed primarily for older persons."

Long before its appearance in aging legislation, the idea of a hub of activity or attention, a single place to which people could turn for assistance, was well known in the human services field. Settlement houses, neighborhood health clinics and community mental health centers are obvious antecedents. For older people, multipurpose senior centers and councils on aging, to cite two major examples, had for years been serving as the focus for aging concern in their own communities.

While these predecessors of today's community focal points were evolving and strengthening service networks of which they were a part, an evolution was also occuring in the Older Americans Act provisions for a nationwide aging network. Just as the Administration on Aging was established in 1965 to be the national focus for older people's concerns, and state and area agencies subseqeuntly came into being as foci for advocacy, planning, and service system development at their respective levels of government, so the newly mandated community focal points are to be hubs for coordinated service delivery and access at the local level.

1/For a more detailed exploration of the focal point concept, we refer you to the Concept Paper; for discussion of the process of designating focal points, see the Designation Handbook.

2/From 1965 until 1973, Title V was the title on "Training Projects". The 1973 Amendments transferred training provisions to Title IV, Part A, and enacted a new Title V on "Multipurpose Senior Centers". The 1978 Amendments amended the Act to deal with centers in sec. 307(a)(14), sec. 312, and Part D, Title IV, and to redesignate the previous Title IX ("Community Service Employment for Older Americans") as Title V.

Role of a Community Focal Point for Service Delivery

These two developments--of service hubs in communities and of the aging network from the federal level throughout the entire country--converged in the concept of a community focal point for aging service delivery. Amid some confusion and discussion about how to designate such focal points and what type of organization to designate, broad agreement has emerged that a focal point should be a highly visible entity that improves service accessibility.

Let us step back for a moment and look at our frame of reference -- community service systems for older people -- in order to understand more clearly the role of the focal point.

A community's aging service system is a total effort to address the needs of older residents. Its core is the informal support network -- families, neighbors, ethnic, religious and self-help groups -- which is the fundamental and major source of assistance to individuals, young and old.

Informal supports are extended and supplemented by formal supports, the array of programs and services offered by public and private agencies and organizations.

The comprehensiveness of service systems varies from community to community. The critical question, however, is not how many types of support are available, but whether the system is responsive to older people's needs. That is, are programs and services readily available and accessible when people need them?

Community focal points for service delivery can help provide a positive answer to this question. They can help make the formal service network function effectively and responsively, from the perspectives of older people, of their informal helpers, of provider agencies, and of the community as a whole.

For the older person, a community focal point is a visible, obvious place to turn for help. It may also be a source of opportunities -- for making friends, for recreation, for getting involved in the community.

For informal caregivers, a community focal point is also a ready source of information and assistance. It can support their efforts to care for an older relative or friend.

For agencies, a community focal point is a mechanism for improving the efficiency and effectiveness of their individual efforts. By working together to make services accessible -- either directly or by referral -- through a single hub, providers can reduce duplication and embark on cooperative ventures that might be impossible for one agency working alone.

For the community, a focal point for service delivery is a visible sign of concern for its older residents -- a place to point to with pride and a place to turn to when problems must be faced. A community focal point is a resource for information and advocacy. Within a planning and service areas, community focal points can inform the area agency about community needs and concerns, while carrying out the AAA's overall system development strategy at the local level.

Conclusion

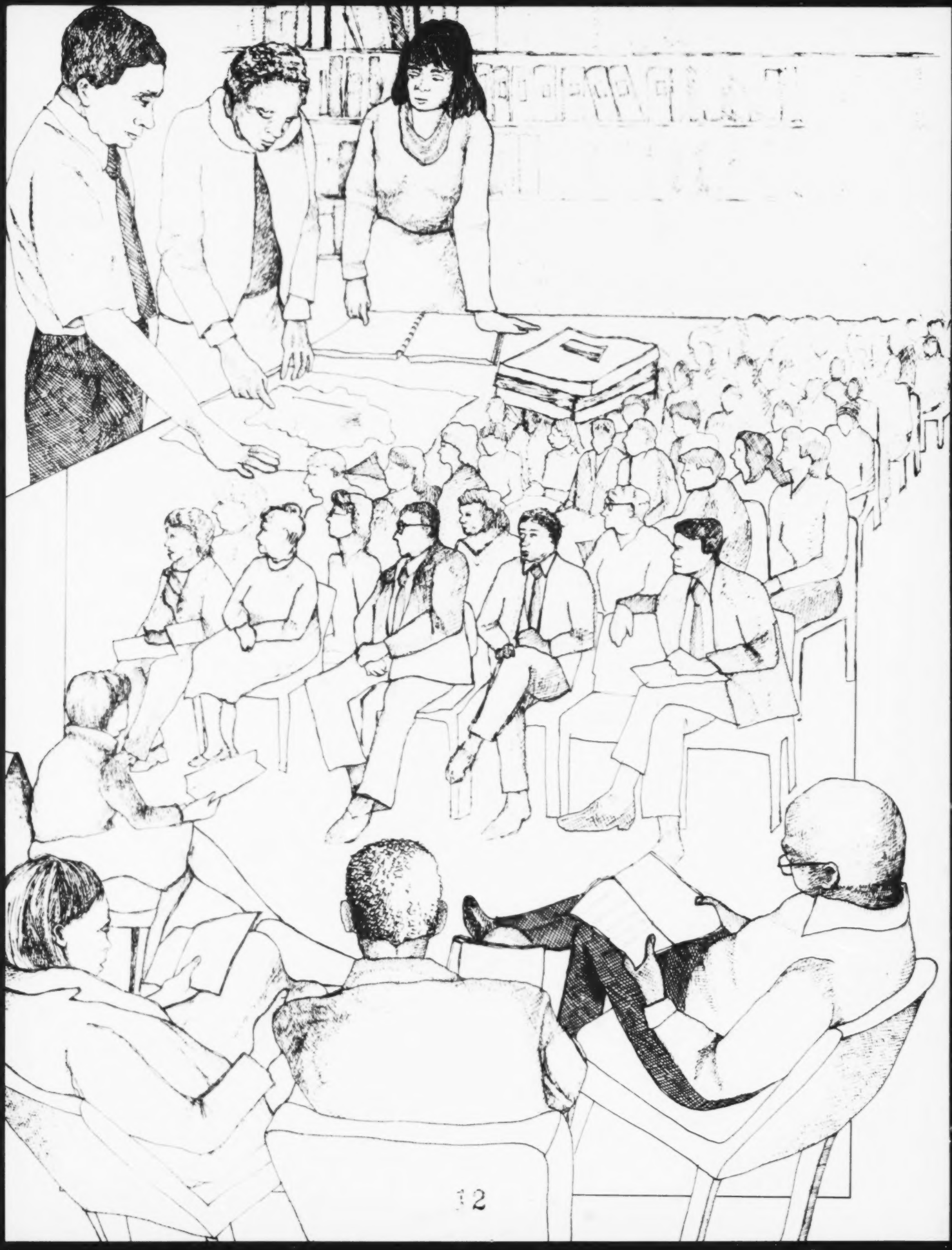
The Regulations from the Administration on Aging implementing the focal point provisions of the OAA allow flexibility in interpreting such terms as "community", "colocation", "multipurpose senior center". In the development of this manual, we have attempted to maintain this flexibility in order to meet the needs of the diverse aging network. No attempt has been made to define "community focal point for service delivery" beyond that established by the Regulations that it be "a facility located within a defined community which provides older persons with the maximum direct access possible to the services available within that community". 3/ The manual addresses the common concerns arising from implementation of community focal points for service delivery whether the community is large or small, a county or neighborhood, urban or rural; or whether the facility is a senior center, nutrition site or community center.

The topics included are not new concerns for managers of service delivery systems -- planning, coordination, accounting to the community, and promoting the organizational image. But each topic is addressed from the relational perspective implied by the nature of a community focal point for service delivery. We hope this resource manual, and the training designed to accompany it, will be useful not only to the staff of senior centers and community focal points, but also to state units on aging, area agencies on aging and others concerned with expanding their knowledge and skills to meet the new challenges of providing appropriate, accessible services to older people.

3/ Federal Register, Vol. 45, No. 63, Monday, March 31, 1980, p. 21137

MANAGEMENT

Section 1: Management Functions
Section 2: Roles of the Community Focal Point Manager



UNIT I

MANAGEMENT

INTRODUCTION

The concept of delivery of community services to older people has undergone a significant metamorphosis over the years -- from single or limited-purpose service agencies and senior centers, through multipurpose centers to community focal points for service delivery. This development has been accompanied by an evolution of the director's role -- from manager of a single major function, such as recreation or nutrition, to an administrator who must manage a variety of resources to meet a broad array of needs, both of older persons and the community in general. The administrator of such a multipurpose agency is highly visible in the service system and accountable to many constituencies. The concomitant of this broad responsibility is the opportunity for leadership in promoting high standards of management not only for the community focal point staff but throughout the community service-system. Thus, continuing development of management skills is particularly important for focal point administrators.

Management is often defined as "the accomplishment of purpose through the organized efforts of others." A given community focal point agency may be, or be part of, an organizational structure based on one of several management models. Bureaucratic, matrix and participation are examples of such models.

A **bureaucracy** is a relatively highly organized structure, emphasizing rules and procedures within a hierarchial system. A bureaucracy can be a very effective way of achieving social goals for large numbers of people.

In a bureaucratic structure, the decision making process is based on procedures, usually written, concerning the who, what, where, when and how things get done. These written procedures are the basis for enforcement and control, and accountability is vertical within the organization.

The **matrix** model has also been called "project management" model and "functional team" model. Matrix structures are organized around problems or projects; the underlying rationale is that needs can best be met if the organization's resources are oriented to objectives designed to meet those needs, without regard to hierarchial constraints. The organization is flexible and fluid: As objectives are completed, resources are deployed to new or other current projects.

The matrix model recognizes that

all elements of an organization are interrelated; a decision in one area affects all parts of the total organization to some degree. It also recognizes that problems usually have more than one source and, therefore, solutions must generally derive from several sources.

Participatory management implies that staff will have a voice and a vote in decisions that affect their work. In a community focal point organization, participants in management decisions may include the agency staff, as well as staff of other organizations, older people and other representatives of the community it serves.

The participatory model is based on the democratic process, with its underlying philosophy the belief that people who participate in decision making feel more highly motivated and tend to incorporate the organization's goals more readily than do people who work in a bureaucratic structure. As in any democratic process, the freedom to participate must be accompanied by the responsibility to acquire the knowledge and skills necessary to contribute constructively to the decision making. Certain decisions, however, may be made only at specific levels within an agency. (See Appendix I-A: Levels of Decision-Making)

None of the management models mentioned is likely to appear in "pure" form in any community focal point organization. Various organizational structures, based on the decision processes necessary to carry out particular tasks, may be employed. Routine tasks, such as accounting functions and personnel procedures, lend themselves to the bureaucratic structure, though even these basic tasks are more complex for a focal point agency. On the other hand, provision of health services requires the input and support of a variety of internal staff and outside organizations and would probably best be developed within a matrix or participation structure.

A number of methods have been developed to help structure the work of organizations. These systems include management by objective (MBO), zero-based budgeting (ZBB) and critical path method (CPM), to name a few. If you are interested in learning more about these methods, the Suggested Readings at the end of this chapter will help you to start your research.

Community focal point administrators may find it useful to be aware of various styles of managerial behavior. A manager's style seems to be caused by past experience, effect of environment and interpersonal relations. One explanation of the basis of managerial style is McGregor's "Theory X, Theory Y," which states that managers assume people dislike work and avoid responsibility (Theory X), or that managers believe work comes naturally, that individuals are self-directed and enjoy meaningful activity (Theory Y). The managerial grid developed by Blake and Morton (1964) measures managers on a continuum of concern for production and concern for people. Some other discussions of managerial style emphasize personality traits and ego states. Understanding managerial styles may lead to the ability to identify personal behavior patterns, self-analysis and change. (See (Appendix I-B: Select Your Leadership Style)

Though organizational structures and systems and management styles vary, it is generally agreed that certain functions must be carried out so the work of an organization can be accomplished. Section 1 of this unit defines these functions in terms of the management of focal point agencies.

Administrators assume a number of roles in carrying out their management functions. Section 2 identifies and describes these roles as they relate to the job of the community focal point administrator.

Section 1

MANAGEMENT FUNCTIONS

A manager, according to Leonard R. Sayles, who has conducted research on the manager's job, "is like a symphony orchestra conductor, endeavoring to maintain a melodious performance in which the contributions of the various instruments are coordinated and sequenced, patterned and paced, while the orchestra members are having various personal difficulties, stage hands are moving music stands, alternating excessive heat and cold are creating audience and instrument problems and the sponsor of the concert is insisting on irrational changes in the program."

The manager's job has traditionally been described more mudanely in terms of the management functions of planning, organizing, coordinating and controlling (See Appendix I-C: A System of Management and Appendix I-D: Focal Point Management).

This section discusses these functions relative to the management of a community focal point for comprehensive service delivery.

PLANNING

In Lewis Carroll's Alice in Wonderland, Alice meets the Cheshire Cat and inquires which of two roads she should take. The cat replies that if it doesn't matter where she goes, then either road will do. In approaching service delivery, we sometimes behave as though our good intentions are sufficient. If we do not know clearly where we wish to go, then, for us, as for Alice, any "road" in fact will do.

Planning for focal points is aimed toward promoting comprehensive and coordinated services for older persons in a community. Planning activities, then, must consider how to assure service accessibility, how the visibility of such services and of the focal point can be promoted and (recognizing that many agencies and organizations are involved in service provision) how to increase interagency coordination. Such planning efforts must take into account and, in fact should involve, the target population, concerned agencies and organizations and the community as a whole.

Planning, while it can be informal in its structure, should not be haphazard. It is preceded and accompanied by thought, by questioning, by information and by commitment to reaching usable decisions. Use of a systematic planning process can improve the ability to present plans, to support them and to secure support

for them by permitting the community focal point to:

- o know what is to be done and why
- o have the information and data to back up ideas
- o know what resources may be available or are needed
- o know what barriers exist to accomplishing these plans

Such an approach also allows judgments based on facts about the extent to which the activities undertaken and costs incurred have moved toward accomplishing identified goals.

The basic planning steps include:

- o assessing needs and setting goals
- o setting objectives
- o determining priorities
- o implementing action
- o evaluation and reassessment

Essentially the same planning steps are employed for both the simplest and the most complex situations. For example, a decision to raise or lower the temperature in a room in a senior center involves an assessment of information. (Is the room comfortable? If not, to what extent is it uncomfortable and in which direction?) It also involves a consideration of how important this matter is compared with other possible problems. (If the center is just opening and a day's activities are planned, it may be quite important. If the center is closing in a short time, or no activities need to occur in this room, it may be relatively unimportant.) And, if important enough to require some attention, you will have to consider what options are available. (Can activities be switched into a more comfortable area? Should the activities be cancelled if no adjustment can be made? Can the thermostat be set to a more appropriate setting?)

Such a simple planning process may occur in the mind of a single individual in a matter of seconds; but the basic process and steps for achieving decision and action are the same as those discussed here.

The following pages will look at the separate planning steps in relation to planning for community focal points for service delivery to the elderly. Utilizing this approach is intended to make easier the task of planning for community focal points.

Needs Assessment and Goal Setting. The process of assessing needs for focal points should provide information in three broad areas:

- o Characteristics of the client population
- o Extent of existing service resources
- o Present patterns in use of services

Some assessment by the area agency probably has already occurred in the process of designating community focal points. The assessment that must now occur involves more specifically determining the needs for service, gaps in existing service and coordination related to a particular community or neighborhood. Identification and agreement on appropriate and usable measures or indicators for determining need must be made. Ideally, these can be specified and then substantiated by data.

One set of measures should focus on the characteristics of the client population including: Numbers of elderly residents, their general

locations (e.g., which neighborhoods or blocks, in apartment buildings or single-family housing), sex distribution, income levels and extent to which they are homebound or mobile. These are factors which have direct impact on the need for services, ability to purchase service and the ability to seek out services.

Much of this information will be available from agencies such as city planning departments, health planning groups and area agencies on aging. There may be interest in developing more complete information, such as a household survey might produce. Such surveys tend to be too expensive and time consuming for a single agency, and most focal points will probably not be involved in conducting major surveys. However, if there is a wider need for such information and interest in developing such a survey, a number of community groups and agencies together, perhaps in conjunction with an area agency on aging or a local college, might jointly sponsor the endeavor.

Various types of information regarding individuals' needs for services may be obtained by learning the percentage of persons 75 years of age and over; the percentage of those living alone; and the numbers who have received or sought such services as home care, nursing home placement and hospitalization. The service provider agencies and institutions usually have such information in their records. If representatives of such agencies are a part of your planning effort, they can report on what information is available and how it can be obtained.

Other areas to be measured deal with the existing service system and may include measures to document such as: The array of services that exist; extent to which each service is accessible to the target population (in terms of physical location or mobility, hours of operation, financial barriers, etc.), and the extent to which access to one service assures or improves access to other services. Again, other planning organizations and service providers can aid in selecting a few appropriate variables for which information is or can be made available.

An additional set of measures combines information about the client population and the service system by focusing on the use of and requests for services. Information from service providers as to the numbers of clients from your target area who have received service, currently are receiving service or are on waiting lists should be helpful. Knowing the types of services for which there are numerous requests or which providers see as needed will help to fill in the picture of need.

To the extent possible, it is necessary to know not only what the situation is now but also what seem to be the trends in these various measures. Again, the participants in the planning process -- especially those from the area agency on aging, other planning groups and service providers -- should be asked to discuss and report on such information. Also, some basis for comparison with other communities, other parts of the community served and your state as a whole will be helpful in the assessment.

Selecting Goals. The community focal point agency or planning coalition must decide whether the current status, the projected future status and/or the comparative position of the community are acceptable or not. If not, goals should be suggested. For example, if residents currently must wait an excessive amount of time before receiving certain services, a goal stating a maximum acceptable amount of time one should be "wait-listed" for a certain service may be developed.

Selection of such goal levels is a mixture of technical knowledge and community values. There is no abso-

lute or "right" way to define them. They are ideals but should be tempered with reality. Thus, goal levels stated in terms of 100 percent (or zero) may not be as useful as goals that demand improvement but recognize that perfection is not attainable in the immediate future.

Comparison of the current situation with stated goal allows determination of how closely the community situation is to the desired state. Knowing the gap helps to set objectives to be obtained by a specified future time (one year, three years or whatever) and helps to develop strategies for achieving these objectives.

The ability of a community focal point, which may have few staff resources, to perform these needs assessment steps is apt to be severely limited. As noted, other agencies and organizations have much of this information already and are in a position to provide assistance. Use of planning committees and task forces can open the way to community resources that can provide technical assistance.

Setting Objectives. The first step was to develop a basis of information concerning the status and needs of the target community and the present service system. Based on such information, goals can be defined.

The next step is to set some objectives. Objectives, stating specific results to be accomplished by a specific time, will provide realistic targets. To be useful, it is important that objectives be defined quite clearly -- not "improve referrals from agency X to agency Y," but that "agency X will increase its referrals to agency Y from an average of two per month to an average of eight per month by June 30, 198 ."

"Why do we need to bother with goals and objectives, let's just decide what to do and do it," you may say. As noted before, the planning process sounds more complicated and elaborate than it need be in fact. Goals and objectives may be very few in number, -- but their purpose is to keep the planning group and, more importantly, those who must implement the things to be done, clearly focused on just what is to be accomplished. The pitfall of many planning efforts is getting sidetracked into activities that somehow never improve the original situation.

The goal statements point out a direction and set a long-range target. Each objective statement is a commitment to accomplish a certain task by a certain time.

Objectives are most likely to be implemented when they have been mutually developed (ideally by those who can help carry them out), and agreed to, and when they have the sanction and support of the community.

Determining Priorities. Assuming that more than one objective has been established, some determination needs to be made as to which objective is more important. If there are insufficient time, energy, staff, and money to accomplish all of the objectives, which ones should be given priority?

Few organizations or communities have enough resources to do everything

they would like. This dilemma and a suggested approach to determining priorities have been presented in a training guide prepared for senior center directors by Senior Centers, Inc., of Metropolitan Tarrant County, Texas. Valid for focal point planning, as well, it states:

> Since it will not be possible to meet all the needs of older persons, decisions must be made comparing the importance of one need against the importance of others. In other words, needs must be prioritized. To prioritize needs is to make hard decisions about people's lives. Determining what needs should be met, or met first, also means defining what needs will not be met or will be met last. It is therefore essential that the priority setting process be as reasonable and objective as possible.

The training guide goes on to outline several criteria to consider in making determinations of priority:

- o Number. How many people have the need? Priorities should consider ways to serve the largest possible number of persons.
- o Intensity. How crucial is the need to the person(s) involved? What happens if the need is ignored? Priorities should consider the impact of specific needs in terms of how critical that problem is to the health or well-being of the older person.
- o Probability. Priorities should consider how likely it is that the agency or organization can succeed in meeting the need.
- o Impact on Other Needs. Priorities should consider the extent to which meeting one need would help or hinder in meeting other needs.
- o Logical Sequence. Priorities should result in a logical sequence of implementation. For example, it may not be possible to do anything about a need for adult education programs for older persons until a transportation problem is solved. Transportation, then, should be considered a higher priority. 1/

The process for choosing priorities can vary, starting from a very simple procedure of looking over the range of objectives and either listing them in order of preference or clustering them into "high," "middle" and "low" priority. This can be done with no definition of how such choices are made, or it can be done by giving consideration to criteria such as those just noted.

Bearing in mind the quoted comment reminding us of the seriousness of these decisions, it would seem that a somewhat structured approach would assure more rational and defensible outcomes. One simple method is to give weights to the different criteria and then rate the objectives across these. In such an approach, you would first agree on what weight of importance to give to the criteria, that is, the weight to give to "number of people," "extent," "probability of success," etc. These could be numbered, for example, from one to five, with five being the most important criterion.

1/ Senior Citizens Centers, Inc. of Metropolitan Tarrant County. Senior Center Management: A Training Guide for Center Directors. (Ft. Worth, Texas:undated)pp. 109-110.

As a further aid to the planning group, the objectives could be displayed in a format that permits you to evaluate each on the criteria and to generate a "score" indicating a rough order or priority. (see Appendix I-E: Example of a Format for Evaluating Objectives.)

While there is no single best method for determining priorities, it is important to make the selection with the planning coalition. Seek to use an approach which, though simple, applies some sort of objective criteria to making the judgment. It is a judgment that groups frequently find very uncomfortable to make. The more objectively it can be made and the more a group decision, the more comfortable the decision-making process can become.

After priorities are set, the way is eased to focus on actions, good ideas, "wish lists" without getting pulled away from the intended direction. If objectives have been prioritized, that is reason enough to insist that possible solutions be determined before moving on to discuss someone's pet idea.

Implementing. Developing action strategies for the priority objectives is the first step toward implementation. Once again the involvement of community agencies and organizations and provider groups is a vital and necessary part of the process. Having worked through a logical sequence of understanding the problems and needs, strengths and resources, the priority concerns and objectives, most groups have little difficulty in generating many suggestions for actions to move toward accomplishment of the objectives (see Appendix I-F: Development of an Action Plan and Appendix I-G: Criteria for Selecting the Best Approach).

Proposed actions need to be evaluated in terms of their ability to be accomplished and the extent to which they contribute to the objectives. Possible agencies or individuals who could carry them out need to be identified. In conjunction with those individuals, the resources which would be necessary, any barriers to taking the actions (these may suggest other actions which need to occur first) and an assessment of whether the action is sufficiently useful to be worth the cost should be discussed.

In this stage of your planning, it is particularly valuable to have people involved in the process who can speak and make commitments for their organizations.

Evaluation and Reassessment. Planning is an ongoing process. This last step in the planning process completes the cycle. Evaluation and assessment indicate the extent to which efforts have been successful and identifies other needs to begin the cycle again.

As the planning activities are concluded, build in a mechanism for monitoring the progress on the action steps. There will need to be a commitment made by the planning participants to review progress and, when things go wrong or do not move forward, to immediately ask "why?" This triggers a mini-planning cycle to resolve the issues around one or more proposed actions.

It may not be necessary to continue to convene a designated planning group, but it should be someone's clear responsibility to periodically review the proposed actions proposed and their status. It is likely that each designated community focal point will have some coordinating or advisory group. Such a group could serve as a monitoring forum for assessing how well your planned efforts are working and could provide an early warning system if things seem to have gone astray.

The procedures for carrying out the evaluation should describe the methods for collecting, organizing and reporting information about the progress and outcome of the plan of action. The Progress reports should

provide answers to the following questions:

1. Who (specific names) will be responsible for (a) monitoring each major activity, and (b) reporting on the progress made?

2. When (specific dates) will the progress reports be submitted?

3. Who (specific names) will be responsible for collecting the activity progress reports and for developing a program status report?

4. When (specific dates) will the status reports be made available?

5. What will be the form of the activity progress reports and the program status reports?

6. Who (specific name) will receive the program status reports?

Outcome reports should provide answers to the following questions:

1. Who (specific names) will be responsible for collecting and reporting information on the achievement of the objectives of the program?

2. What indicators will be used to determine the degree to which the objectives were achieved?

3. Will the program of action be modified and continued or will it be phased out if the objectives are not achieved as stated?

4. Who (specific name) will receive the reports on the results of the program of action? (See Appendix I-H: Evaluation.)

ORGANIZING

Organizing implies the division of the work of the focal point organization. In the process of organization, resources are allocated and reallocated and authority and responsibility are integrated toward carrying out the organization's plans. Since the largest focal point resource is people, personnel management and interpersonal relations are important.

Personnel management begins several steps prior to the hiring of employees or the selection of volunteers. Before staffing can begin, it is necessary to identify the positions, functions and personnel required to achieve the organizational goals, as well as to determine the appropriate relationships among them. These decisions form the basis for the development of the organizational chart.

Effective staff organization includes the following components:

- o Job Descriptions
- o Recruitment
- o Selection
- o Staff Development
- o Personnel Records
- o Personnel Policies and Procedures

Job Descriptions must be written for each function (full time, part time, paid and volunteer). Each job description must define the task(s) to be performed, line of accountability, areas of responsibility and authority and special skills needed.

Recruitment is the process of getting people to apply for work. Information about positions to be filled may be circulated by means of newspaper advertising; listings with private and state employment agencies; senior citizen job banks; trade and professional publications; union hiring halls; college and university placement services; high school vocational and counseling departments;

publications in the field of aging; word of mouth through present employees; the sponsoring agency; board members; participants; other community agencies, and state associations.

In the recruiting process, as well as in selecting employees, care should be taken to communicate that the agency is an Equal Opportunity Employer with an Affirmative Action Plan, that it conforms to laws and regulations governing these issues.

Selection of the best qualified applicant is the next step and should involve several procedures:

- o Application form -- obtain identifying information such as education and training, work experience, special qualifications or skills and references.
- o Application screening -- review applications, using criteria from the job description, to identify the best qualified candidates.
- o Personal interview -- determine the applicant's personality characteristics and interests and provide him/her additional information regarding the job, the overall purpose of the focal point and other pertinent factors.
- o Performance testing -- determine adequacy of required skills, e.g., typing, shorthand.
- o Checking references -- provide further verification of the candidate's suitability; answer any questions or receive clarification regarding skills and experience.

The following abilities should be available among focal point staff, though any one staff person need not necessarily have all of them:

- o knowledge of human behavior, with specialized knowledge about the physical and emotional characteristics of older people
- o skill in group interaction
- o skill in working with and supervising a wide variety of people
- o specialized knowledge relating to the interests of older people
- o knowledge of community resources, and skill in community organization

(See Appendix I-I: Delegation for Success and Appendix I-J: The Art of Constructive Criticism.)

Staff Development is the component that enables the selected staff member to function in the particular community focal point agency. Staff development should include:

- o orientation
- o initial training
- o in-service training
- o library available for staff
- o support for participation in
  - --professional organizations
  - --continuing education activities, such as courses and seminars.

Personnel Records should contain not only tax information but also functional data about staff, including previous job skills, special training, hobbies, outside interests, education and geographic backgrounds. Complete personnel records, and a system for making appropriate information available to anyone who may need a particular skill or background at any given time, are important in orga-

nizing for maximum personnel utilization. Confidentiality must, of course, be maintained for sensitive personal information.

Personnel Policies and Procedures affecting the community focal point's operations should be developed by its board of directors, in consultation with the community focal point administrator, and reviewed periodically. Administration and implementation should be delegated to the focal point administrator.

Such policies and procedures should be in writing in the form of a personnel manual, which should include:

- o Statement of purpose and responsiblity
- o Categories of employment
  - --full time
  - --part time
  - --temporary
  - --exempt
  - --non-exempt
  - --volunteer
- o Staffing policies
  - --job description
  - --recruiting
  - --selection
  - --personnel records
- o Conditions of employment
  - --hours and schedules
  - --reporting hours
  - --compensatory time and/or
  - --overtime pay
- o Other operating procedures, such as use of vehicles, travel, petty cash
- o Terms of employment
  - --orientation
  - --probationary periods
  - --supervision
  - --evaluation
  - --promotions
  - --termination
- o Employer/employee relations
  - --channel of communication
  - --grievance procedures
  - --labor/management relations
- o Compensation and benefits
  - --salaries
  - --annual leave
  - --holiday leave
  - --maternity leave
  - --military leave
  - --jury duty
  - --other leave (such as personal, educational)
  - --insurance coverage
  - --retirement
- o Additional considerations
  - --professional development
  - --bonding
  - --federal and state laws affecting personnel practices

Though people are the most important resource of a community focal point agency, the manager also has responsibility for organizing other resources, such as space and facilities. Other sections of this manual will focus on these areas.

COORDINATING

In a community focal point organization, coordination takes on a special meaning. Coordination, as used in the context of this manual, involves the structuring of working relationships between your organization and the resources of the rest of the community. It includes such things as supervising non-agency staff; serving on boards of other agencies; negotiating contracts and agreements, and sharing resources.

Strategies for achieving coordination with other community agencies and organizations should be developed as carefully as are the internal plans of the community focal point organization. Skills necessary for working with other people, such as com-

munication, conflict resolution and negotiation, must be developed by the community focal point director and staff. Other units of this manual will address these issues in more detail.

CONTROLLING

Controlling answers the question "How are we doing?" in terms of meeting the organization's goals. This function insures that resources are used effectively and efficiently and in accordance with the organization's plan. Every focal point should have: A fiscal accounting system, a program records system and a system for obtaining and recording community input and contact (such as telephone logs of inquiries, complaints and suggestions).

Fiscal Accounting. Budgets are concrete expressions of an organization's planning and also effective instruments of control. Budgeting practices must be instituted that identify sources and uses of funds and facilitate decisions in the allocation of resources.

In Corporate Planning for Non-Project Organizations, James M. Hardy outlines these steps for effective program budgeting:

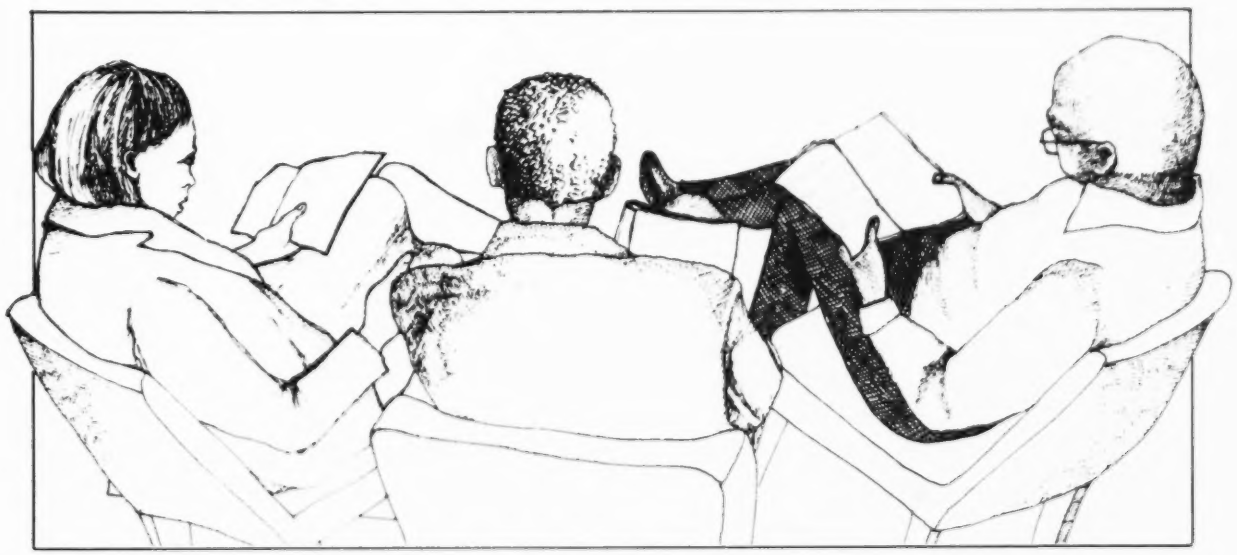
1. Listing the objectives and the major programs that have been designed for their achievement. This involves bringing together the action plans developed during the planning process.

2. Estimating the amount of time that professional staff anticipate spending on each objective.

3. Estimating direct expense for programs designed to achieve each objective.

4. Estimating the direct income for each program, including gifts received for specific programs.

5. Determining the general administrative and overhead costs (including administrative salaries) and the costs of operating the building, if applicable, and allocating these costs to all programs.



6. Summarizing the budget by operating unit, showing the direct expense for each program designed to achieve an objective, the indirect costs (administrative and building costs), the total cost, the direct income, the allocation of special funds and the subsidy that is needed.

7. Accumulating the budget estimates by classifications that are relevant to the effective management of the organization (e.g., operational goals, fields of service, functions, etc.).

Budget development is the first step in a system for fiscal control that is appropriate to the community focal point's operation and contains internal control. Other components of the system might include:

- o monthly reports
- o quarterly reports
- o year end financial statements.

Hardy outlines the following technical and managerial issues that should be considered in an effective budgeting system:

- o The budget system should be planned and should be a part of an organization's total planning process.
- o Top management must provide administrative guidelines for budgeting.
- o There must be a clear-cut organizational structure on which fiscal reponsibility and accountability are based.
- o Budgets should not dominate decisions.
- o Accounting jargon should be held to a minimum.
- o The budgetary system should be relatively simple, straightforward and not overly restrictive.
- o Gamesmanship should be avoided in developing and administering budgets.
- o There must be participation by staff, boards and committees in the development and use of budgets.
- o Estimated program costing is a basic part of budgeting.

Establishing and monitoring a fiscal accounting system need not be a complicated task, but it is advisable to seek skilled assistance so that the proper procedures are implemented. Most focal point organizations or their parent agencies have budget and/or finance committees, which should be involved in developing and recommending budgets to the organizations appropriate policy making groups. Often these committees include competent and experienced persons who can be helpful in the budget development and fiscal accountability process. It is important to remember that the practice of sound fiscal management is essential to the community focal point's survival and will contribute to its growth and stability.

Program Records. The program records system should contain three general types of records:

- o client user records
- o organizational service records
- o administrative records

Client user records include identifying data, emergency information, data about individual needs, use of services (current and past), as well as referrals. Information from these records can be used to:

- o provide an ongoing case record
- o construct a profile of the clientale of the focal point
- o determine and plan for additions or changes to services
- o coordinate among service-providing agencies on behalf of the individual client

Organization service records will be kept on some periodic basis, such as daily, weekly or monthly. They will chronicle the activities and services of the community focal point. They may include attendance figures, referral statistics, progress reports and lists of participating agencies and organizations.

Information from these records can be used to:

- o identify the service resources and linkages that exist
- o record the extent of and changes in client use of the community focal point
- o permit an overview of the community focal point's activities by class of activity (e.g., direct client contact, fund raising, educational, public information, service development, etc.)
- o record the number and types of coordinative activities in which the community focal point engages

Administrative records deal with personnel, finances, internal management and advisory/governing body operations.

They are used to:

- o comply with legal requirements for tax, health, safety, insurance, and similar reporting
- o provide financial data for proposals, annual reports, audits, and other financial reports
- o maintain a current inventory of property and equipment
- o record operational procedures and policies
- o provide data on numbers and work distribution of staff
- o provide records on the organization, procedures, and conduct of business by advisory groups and governing body

In order for any record system to operate smoothly, it is important that the system be carefully constructed and described in writing (for example, in an organizational procedures manual) and that responsibilities be clearly defined. This does not mean that once a system is outlined you cannot change it. In fact, the data system should be responsive to changing needs and to opportunities for improvement. Staff understanding of the role and uses of records will go far toward assuring that good, usable records are kept.

For several reasons, including a possible excess of paper, costly staff time devoted to paperwork and the sensitivities of other agencies, it is advisable to avoid unnecessary duplication of records. The difficulty, of course, is in defining what is "unnecessary." This cannot be prescribed in advance, but in your planning for records systems, be sure that you have a need for all records to be kept. In this regard, as well to assure the

quality of the records systems that are developed, the involvement of a number of persons will be helpful. Such persons should include those who provide data to you, those who will use data for developing reports and those who will be recording data in the system. Representatives of other agencies and persons knowledgeable about data and records systems should participate.

Of particular relevance in planning a records and reporting system is the interagency nature of a community focal point's operation. It is important to respect the private nature of other organization's records, which may in some instances necessitate duplicate record keeping.

The protection of individual client confidentiality is a significant concern for any human service organization. Procedures for assuring proper care of records must be developed and made a regular part of staff and volunteer training.

In general, procedures will need to assure:

- o limited access to client records
- o systems for coding or disguising confidential information in reports or for other purposes when access is not limited
- o secure storage for such records
- o procedures for release of information that are specified, made clear to staff and clients, and followed

Retention time varies for different types of records. Each organization should decide and specify guidelines for how long to retain various records. In general, records are held only as long as necessary (1) to satisfy the organization's needs for reporting, conducting evaluations and accounting; and (2) to comply with state and Federal laws and regulations.

Community Input. A frequent method for assessing program relevance and impact is to solicit direct feedback from clients or other groups. Such information may be obtained in several ways: Client surveys, suggestion boxes, invitations (in newsletters and the like) to submit comments, public hearings or open "town meetings," meetings and conferences with other community agencies and groups, etc.

Program data and records may, in fact, be limited in the information that can be provided about such qualitative factors as client and community perception of the community focal point effort, importance to clients in seeking service, etc. To obtain such information, some special mechanism (or several) will be necessary. On a routine basis, meetings of advisory and planning groups, particularly when they represent a broad range of interest and constituent groups, can provide opportunities for receiving indications of program satisfaction, impact and problems. Routine formal or informal reporting of such information by staff members can be another useful tool.

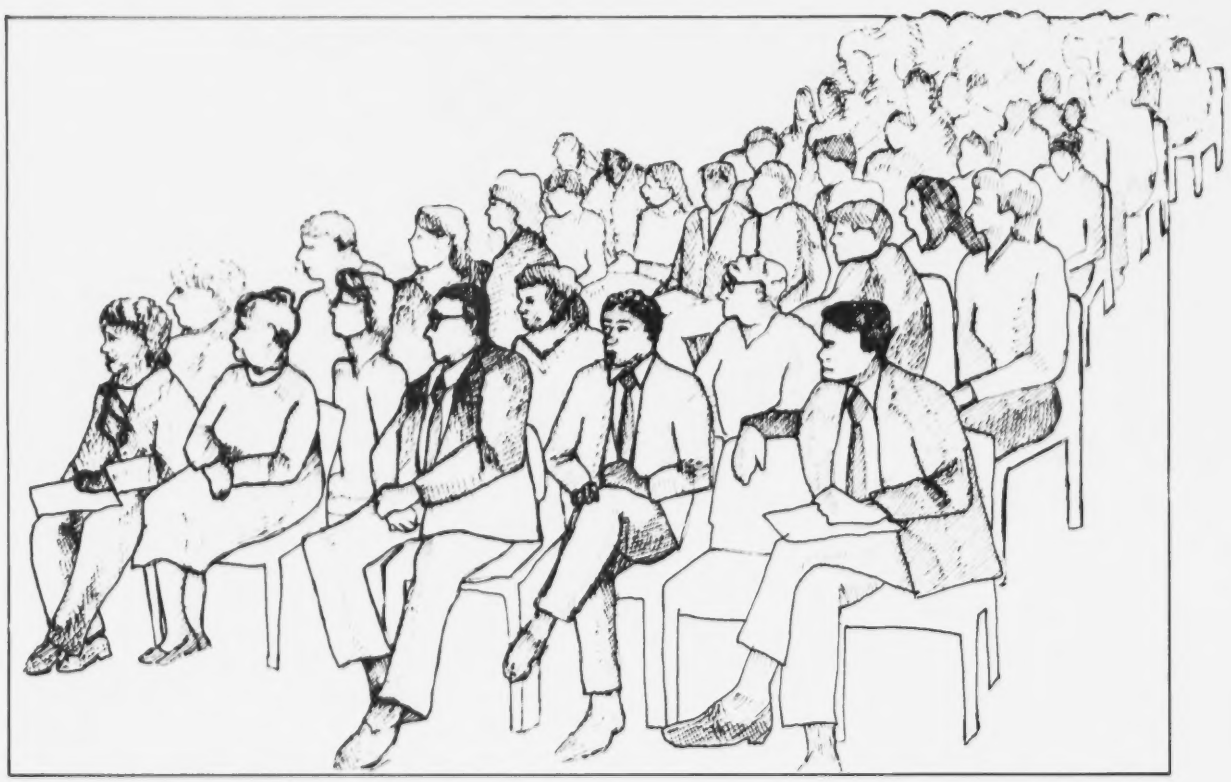
The image of being an open organization that genuinely wishes to receive information and suggestions can be promoted through various educational and informational channels (including newsletters, press releases, flyers, contacts with community groups, etc.). It should be noted, however, that if such information is solicited, it should be considered and acknowledgement made of its receipt and value. Otherwise, the organization's credibility may be damaged and future requests for feedback ignored.

To be most worthwhile, controlling should involve much more than providing reports to an external funding agency. As we have noted, there is responsibility for varying

degrees of accountability to many different groups within the community focal point's service area. Though we have not focused on it here, it will be recognized that there may also be accountability to regional and state agencies. The area agency on aging will most likely be involved with and require some accounting from those community focal points in its planning and service area.

The most important recipient of accounting from the community focal point's activities is the organization itself. To be fully worthwhile and relevant, the information obtained and processed must be linked back to the operational level (via staff meetings and conferences, interagency case management and other sessions), to the administative level (in preparation of grant applications, fund raising appeals, as well as for routine monitoring) and to the long range planning efforts of the community focal point organization.

As noted in the beginning of this section, the planning process begins with an assessment of what is. Thus, the controlling process output logically feeds back into the continuing process of assessing and planning needed changes and methods for implementing them. With careful planning of a process for obtaining and storing necessary data, the community focal point will be in a position to monitor and adjust its activities and to meet its external accountability responsibilities.



Section 2

ROLES OF THE COMMUNITY FOCAL POINT MANAGER

In his article "The Managers Job, Folklore and Fact" for Harvard Business Review, Henry Mintzberg identifies ten roles, categorizing them as interpersonal, informational and decisional. We discuss the community focal point manager's specific roles below in Mintzberg's framework.

INTERPERSONAL ROLES

These roles arise directly from the community focal point manager's formal authority and involve basic interpersonal relationships.

- Certain duties of a ceremonial nature must be carried out by every community focal point manager. This is the **figurehead** role.

Duties in the figurehead role could include conducting VIPs on tours of the facility, signing certificates of appreciation for volunteers and attending community functions as the community focal point representative. While such duties may be relatively routine, involving little serious communication and no important decision making, they help create goodwill toward the community focal point and cannot be ignored by the manager.

- The manager is responsible for the work of the community focal point staff. In this **leader** role, the manager has such duties as hiring and training of paid and volunteer staff, motivating and encouraging employees and reconciling the individual needs of volunteers with the organization goals.

How a community focal point manager develops and uses leadership skills will determine how much of the potential power of his/her position's formal authority will be realized.

- In the **liaison** role, the community focal point manager makes contacts outside of his/her own organization. In fact, you probably spend as much time with people outside your organization as you do with your own staff, perhaps more. If you flip through your calendar for the last few months, or your "rolodex", you will find that you have established contacts with an

incredible range of people: Older people, professional associates, suppliers, elected officials, etc. Personal contact and handling mail from these groups requires a great deal of time.

The community focal point manager cultivates these contacts to obtain or provide information, identify resources and further the organization goals.

INFORMATIONAL ROLES

The community focal point manager as leader has access to every member of his/her staff and therefore knows more about the organization than anyone else. In addition, the liaison contacts expose the manager to external information that other staff may not have. Thus, the community focal point manager develops a powerful base of information. The processing of this information is an important part of the community focal point manager's job. The informational aspect of managerial work is carried out through the following three roles:

O As the community focal point manager, you perpetually scan the environment for information; question your liaison contacts and subordinates, and receive unsolicited information, (much of it resulting from the network of personal contacts you have developed). A good part of the information, you collect in the **monitor** role, though not all, arrives in verbal form, often as gossip, hearsay and speculation. By virtue of your contacts, you have a natural advantage in collecting this soft information for your organization.

o You must share and distribute much of this information. In the **disseminator** role, you pass some of your privileged information directly to your staff who would otherwise have no access to it. You will somepass information from one to another of your staff (e.g., coordinators of satellite centers) who may not have easy direct access to each other.

o In the **spokesman** role, you send some of your information to people outside the community focal point organization. You may make a speech to lobby for service expansion or suggest to the director of another organization that you collaborate on a grant to a funding source. In addition, as part of the spokesman role, you must satisfy the influential people who have, or could have, impact on the developement of the community focal point, such as your board of directors, Federal, state or local elected officials.

DECISIONAL ROLES

The community focal point manager plays the major role in the organization's decision-making system. The manager as decision maker plays four roles:

o As **entrepreneur**, the community focal point manager constantly seeks to improve the organization, to adapt to changing conditions in the environment. In the monitor role, he/she constantly looks for new ideas. When a good one appears, he/she initiates the development of it or perhaps delegates it to another staff member.

The community focal point manager supervises a number and variety of projects at the same time. These might include on going programs such as information and referral or transportation, public relations activities, resource development, integration of new reporting systems and new projects at various stages of development.

- In the entrepreneur role, the manager is the voluntary initiator of change. The **disturbance handler** role, on the other hand, depicts the manager involuntarily responding to pressures. The community focal point manager must act when, for example, an important funding source is lost, another agency reneges on an agreement or a key staff person resigns.

No organization is so well run that it has considered every contingency in the uncertain environment in advance. Disturbances can arise not only because managers ignore situations until they reach crisis proportions, but also because good managers cannot possibly anticipate all the consequences of every action they take.

- The third decisional role is that of **resource allocator**. The community focal point manager is the key person responsible for mobilizing and organizing the necessary resources --staff, policy and advisory groups, volunteers, funds and other organizations' cooperation. Perhaps the most important resource the community focal point manager allocates is his own time. The demands on the manager's time are varied and insistent, and a good manager needs to learn how to make the most productive use of the limited resource.

The community focal point manager must design the pattern of formal relationships that determines how work is to be divided and coordinated. He/she must authorize important decisions before they are implemented to ensure that decisions are interrelated and mutually supportive.

- The final decisional role is that of **negotiator**. The community focal point manager will be called on to work out agreements and contracts with other service provider agencies; to settle grievance among participants or staff, and to argue for a greater share of the supporting agencies resources, --to name only a few examples. Such negotiations are an integral part of the manager's job because only he/she has the authority and information that important negotiations require.

Summary

A community focal point is a hub!!! It is a visible and significant part of the total service system. Community focal point tasks all relate to the community focal point's chief goal: To be a mechanism fo facilitating access to services for older people in the community. Tasks for a community focal point involve both the organization itself and the many people and agencies with whom it must work to accomplish this goal.

In many ways, the manager of a community focal point will be a change agent. The management functions of planning, organizing and coordinating a single organization will be expanded by the need to coordinate resource development and service delivery for a variety of agencies. Change is always a prime concern for management: The difference is that now you will be planning change toward new, defined goals. Changes will occur in the

scope of your administrative responsibilities; the issues and problems you face, and the complexity of the external environment with which you must interact.

Throughout this manual, we will be emphasizing that you must develop a strong knowledge base along with skills you will need to carry out community focal point tasks in light of these changes. Your new approaches may be similar to what you have always done, but you will have to broaden your responsibilities, develop new internal operations and external relationships and coordinate provision of a more complex program.

This unit has provided a brief overview of community focal point management. The units that follow will address particular areas of management that are of major importance in planning and operating community focal points for service delivery.

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DEVELOPMENT OF COMPREHENSIVE SERVICE DELIVERY SYSTEMS

Section 1: Community-Based Planning
Section 2: Facilitating Coordination
Section 3: Accountability

UNIT II

DEVELOPMENT OF COMPREHENSIVE SERVICE DELIVERY SYSTEMS

INTRODUCTION

Comprehensive service delivery is the charge and the challenge to community focal point agencies. In order to reach this goal, strong positive relationships must be developed with a range of community resources.

Early in the development of this manual, representatives from the Administration on Aging, state units on aging, area agencies on aging and service providers were brought together to discuss the implications of comprehensive service delivery. The discussants agreed that coordination is basic to a comprehensive service delivery system and identified the following elements of coordination as it relates to community focal point agencies.

- o A coordinated service delivery system should bring together community resources to produce a continuum of services for older people in order that they can remain independent and within their community as long as possible.

- o A coordinated service delivery system should use all resources available to it to reach its goals which include mechanisms, where feasible, to involve the resources of the older adult community to define services needed as well as deliver the service.

- o A coordinated service delivery system should strive to make its programs easily accessible to all members of the community.

- o A coordinated service delivery system should make links with all community resources in order to provide options for the older adult community.

- o A coordinated service delivery system should be viewed positively by older persons, service providers and the community at large.

- o A coordinated service delivery system should have characteristics which allow service providers to:

  -- have input into the community-wide planning process of area agencies on aging

  -- assist in identifying the needs of older adults

-- evaluate and monitor their services on an on-going basis and be programmatically as well as fiscally accountable.

The discussion participants also identified some of the ways a community focal point supports and enhances the service delivery system. It improves services to older people because it can:

- o assure access to a broad and comprehensive array of the community's services and opportunities available to older persons
- o facilitate the use of these services and opportunities by potential consumers, service providers and the broader community by interagency linkages
- o provide a mechanism for coordinating the delivery of this comprehensive array of services and activities, thereby reducing fragmentation
- o give visibility to aging and aging services in the community
- o present a positive image of aging and older people as a community resource
- o increase the likelihood that the specific needs and interests of the community are met because the development of resources and the delivery and coordination of services are community-based.

This unit looks at coordination strategies in three contexts. Section 1 discusses implications of planning in cooperation with the various organizations and constituencies in the community; Section 2 looks at methods for developing and maintaining interagency linkages; Section 3 discusses accounting obligations of the community focal point to the community it serves.

Section 1

COMMUNITY-BASED PLANNING

Why Community-Based Planning?

While there are many approaches to planning, the approach suggested here is one done for a specific community by that community. This process is based on principles that are used in community organization and development, coalition planning, adult education and other group-centered approaches to change. They all tend to focus on "community," "groups," "cooperative efforts" and the like. The community focal point for service delivery to the elderly is a concept that, by its nature, is related to a community of individuals in need, to multiple public and voluntary organizations and agencies that provide services and to a coalition of persons or agencies concerned with improving coordination and service accessibility. For a major objective of "coordination," the kind of interactive strategy used in community-based planning seems a natural approach.

SOME PRINCIPLES OF COMMUNITY BASED PLANNING

Many researchers and practitioners of community planning and change have noted the importance of cooperative effort in attempting to implement any type of program for change. Without cooperation, it is unlikely that much change can be expected within a community. In planning for community focal points, cooperation is necessary at many levels: At the official agency level; with unofficial community organizations; at the neighborhood level, and with the community's citizens.

Following are some of the major reasons why such a cooperative approach to planning is suggested for community focal points. Cooperative planning:

- o permits the sharing of energies, knowledge and resources
- o provides an opportunity to obtain important insights that might otherwise be missed
- o offers a chance to discover areas of disagreement and conflict early and work them out
- o is more likely to result in active, committed participation

- is more likely to produce acceptable decisions that can be implemented effectively

No single agency is likely to possess all the information and skills that may be important to developing a successful program. The very nature of community focal points suggests linking together service resources. It seems logical, then, to link representatives of many of these resources for the purpose of designing the structure and functions of a community focal point strategy. In doing so, it is important insofar as possible to obtain participation by those persons who can speak for their agencies and who can make commitments. Additionally, you will want to build in sufficient "official" sanction for your efforts, so that the credibility and bargaining position of your community focal point activities are strengthened.

The residents of the community to be served are not always seen as having resources to contribute. But service recipients (or potential recipients) may be the only individuals fully capable of assessing why the present situation is not successful (or if it is) and what barriers may exist or be inadvertently created by proposed solutions. If a key reason for having a community focal point for service delivery to the elderly is to make needed services more accessible, then older people have a major role to play in planning for community focal points. Their input as to what services are truly needed and what approaches can make them more accessible (and thus used more) can provide valuable information. It should be noted that while obviously not every individual can be directly involved in such a planning process, care should be taken to assure that the opinions, concerns and knowledge of a wide range of persons be obtained. For example, if services to reach the homebound are thought to be needed, homebound individuals and their caregivers should be involved in the planning process.

Planning cooperatively with other service-providing organizations allows for developing mutual understanding of what services are or can be available, what the constraints upon service delivery may be and how solutions may be sought jointly. An important benefit from involving such provider groups in the planning process is the development of common definitions of community needs and goals appropriate to each agency.

The frequently heard claim of "turf" protection among agencies is often a real barrier. Turf protection can frequently be reduced by early and frequent cooperative discussions and problem-solving efforts. All participants can work toward agreeing on a set of needs and goals, which can then serve as a stepping stone toward easing "turf" issues and finding solutions to them.

Other benefits to be derived from cooperative involvement in planning are personal (or agency) commitment to common goals; a stake in the outcome, and hence continued involvement and commitment of resources in carrying out the plans. Similarly, the sharing and modifying that must occur in this type of planning process can produce decisions that are defensible, have a broad base of support and, when translated into service, have a high likelihood of being both sustained and accepted by the community.

A cardinal principle of community-based planning, then, is:

SEEK BROAD-BASED COOPERATIVE INVOLVEMENT AND PARTICIPATION IN THE PLANNING PROCESS BY SERVICE PROVIDERS, COMMUNITY LEADERS AND POTENTIAL SERVICE RECIPIENTS.

Other important aspects of working through a community-based planning approach have to do with the attitudes and actions of those who are

leaders or who instigate the planning process. The degree of commitment and sincerity with which such individuals approach planning for a community focal point is a critical factor. It is possible to start a planning process with some misgivings, but it is unlikely that persons without personal commitment can sustain such a process or see it through to a successful conclusion. While a total commitment to a specific result is not necessary, a fairly high degree of commitment to seeing the planning process carried out should be expected of those leading it. Several recent case studies of successful community systems of service for the elderly illustrate and emphasize the high level of commitment, enthusiasm, dedication and involvement on the part of the staff and volunteer leadership. 1/

The leaders' concern about the problems identified and the target population to be served does much to generate a level of trust and respect that may permit others, even when they disagree, to be willing to participate in the planning efforts.

A second principle for community-based planning is:

LEADERS IN THE PLANNING PROCESS NEED A SINCERE INTEREST IN A COMMITMENT TO THE COMMUNITY AND TO THE PLANNING PROCESS.

Closely related to such personal commitment is the ability to accept the community and the participants in the planning effort. This does not mean you may not prefer or even hope for changes, but it does mean you can start with things and people as they

are. It may mean that you are willing to be changed by other participants in the process.

Having an understanding and respect for the values and customs of the members of the community to be served is an important part of such an approach. Even members of the planning effort who are themselves local residents may need to be more aware of subgroups within their service population. Understanding customs, practices and values that may impact on the client's ability or willingness to seek services and on the acceptability of various ways of offering services can be vitally important in assuring that services are planned and organized in ways conducive to their being useful and used.

This links closely with the previous discussion regarding involvement in the planning process of those who are the intended recipients of programs and services. But more than mere passive presence is required to make these two principles work for you. A role of involvement needs to be created that is sufficient to allow participants to understand and develop respect for one another's values. A level of participation that assures a thorough evaluation of both the community's needs and the extent to which various proposed solutions may be acceptable is important. After

1/ JWK International Corporation. A Short-Term Evaluation of Community Service System Development Under the Older Americans Act, Final Report. Washington, DC:The Federal Council on the Aging, June 2, 1981.

all, what could be more frustrating than to identify needs and develop proposed programs, only to find that the solutions are in some way not feasible for the community?

Thus, an additional principle to bear in mind is:

BUILD INTO THE PLANNING PROCESS AN ACKNOWLEDGMENT AND UNDERSTANDING OF THE CUSTOMS AND VALUES OF THE COMMUNITY FOR WHICH YOU ARE PLANNING

Such a community-based, planning effort has to do with designing in success rather than failure. In addition to developing the representative structure for the planning and the interactive process that we have noted, it can be very helpful and encouraging to have some initial achievements. These may be thought of as short-term objectives, as steps in the planning process or even as fringe benefits. Such steps could include making available to community agencies the data and information that you have obtained, offering to lend support to another activity that is not in conflict with your overall purpose, using the form and structure you have developed for planning purposes to provide some specific short-term service. A fact-finding or information forum for senior citizens or an agreement among the agency participants to jointly provide some service are examples of appropriate short-term activities.

Such accomplishments should not conflict with your longer-term planning goals (and care must be taken not to lose sight of your larger goals), but they can offer the opportunity to provide some specific, tangible evidence of your activities to the community as well as to participants in your planning efforts. Such accomplishments, even when they are very small in scope, can do much to stimulate and encourage a group at risk of becoming bogged down in trying to accomplish larger, more complex tasks.

Insofar as you can, seek to set specific steps by which the planning group will accomplish its work. Whether these are steps in the overall planning process or those that result in the short-term achievements discussed above, "bite-size" actions that can be accomplished and by which a group can know that it is making progress are very important. The ultimate goals may be so broad and require such a significant amount of time to accomplish that a group can become frustrated along the way. Your participants need to be reassured that they are accomplishing something now and that they are moving toward something worthwhile. So, in designing the activities for your planning process:

LOOK FOR SOME SHORT-TERM ACHIEVABLE OBJECTIVES AND PROCEED IN STEPS THAT ARE BOTH POSSIBLE AND MEASURABLE

As you set about developing your planning structure and process and carrying out planning activities for community focal points, it should be remembered that you can expect to encounter resistance. As you seek to identify the community's needs for service, the critical gaps in service delivery and ways for improving coordination of services, you undoubtedly will be talking about changes. These may be changes in how an agency currently conducts its programs or changes in the linkages and interactions between agencies. You may ask agencies to assume new or altered roles and responsibilities or to commit resources to extend or add services.

The planning process itself--before any program planning or recommendations have been made--requires some degree of change in terms of asking agencies and organizations to work cooperatively together. Some

will have a cooperative relationship already; others will not. The planning process, as we are describing it here, calls for a certain amount of suspension of previously held beliefs or rules. Participants are asked to consider all things as possible, not just what they are already doing. They are asked to view one another and the community as full partners in the planning process.

As a result of asking for these changes in action and attitude, you should expect a certain amount of stress. Such reactions occur not just in the obvious places (such as an agency which you ask to commit resources) but in other parts of the community as well. A current community leader may feel his authority is threatened by the activities of the planning group. A voluntary organization may feel that its opportunity to serve its community will be weakened and so on.

It is, then, vital to the success of your planning to be aware of and try to prepare in advance for possible resistance. Not all can be foreseen, of course, and not all can be prevented. However, it can make your planning process smoother and life in general easier if you are aware of the potential for resistance and seek to prevent what you can (see Appendix II-A: Actors in Community-based Planning).

A number of the principles already discussed are also valid approaches for reducing the potential for conflict and resistance. As individuals and organizations within the community feel an interest and investment in an idea or a concern for the problem, resistance will likely be minimized. This is true particularly if they have been involved in identifying the problem and in the needs-assessment phase of your planning activities.

Resistance often stems from a feeling of threat or the expectation of additional burdens. If persons or agencies can be reassured that such threats or burdens are either non-existent or minimal, this can be helpful. But, in many instances such a commitment cannot be made--there is a change required that does pose a threat or impose extra burdens. In that case, promising that there is no threat is not only false but is also likely to bring an even stronger and more adverse reaction later. It is better to involve the potentially threatened or overburdened individuals actively in the planning process. Assure them that they will have every opportunity to help find a less burdensome alternative and that the planning process is open to modification. While the end result may be little different in terms of what that individual or organization is asked to contribute, who is involved in making the request and the commitment can make a world of difference.

At the same time, it should be noted that resistance is not necessarily bad. It can be annoying in that it makes life more difficult for those trying to guide the planning process who have a major stake in achieving a successful outcome. But the "resistor" also serves to point out flaws in information collected, interpretations made from the information or in the logic of approach to problems. Such a role can be a important one to help keep the planning process on track. In fact, if no genuine opposition or resistance occurs (an unlikely situation in most communities), you may well need to create a kind of "devil's advocate," who can challenge the findings and assumptions as you proceed.

A principle to bear in mind as you develop your planning is:

BE AWARE OF THE POTENTIAL FOR RESISTANCE AND OPPOSITION, USING COOPERATIVE NATURE OF THE PLANNING PROCESS TO REDUCE UNNECESSARY RESISTANCE, BUT BE SENSITIVE TO THE

POSITIVE CONTRIBUTIONS TO BE MADE BY RESISTORS.

The last of our suggested basic principles for community-based planning leads us back to the planning steps noted in Unit I. Planning for community focal points is viewed as being a process which will vary from community to community and need not be a strictly formalized or elaborate process. At the same time, it is important to the success of such an undertaking (and only fair to those community organizations and individuals who give their time to the activity) to follow a reasonably well defined and, in fact, planned process for planning (see Appendix II-B: A Community Worker's Guide to Helping Things Happen in a Community).

To be worthwhile, decisions must be based on the best information that you can obtain on the scope of the problem, the potential resources for dealing with it and the interactions and impacts that may be caused by one or another approach to solutions. Thoughtful consideration should be given to which of several alternative solutions may be the best. The community participants will have to define "best" for their community in terms of effectiveness for achieving the planned goal, impact on existing structure and organizations, availability of resources to support the possible solutions and acceptability to the target client community. To improve the likelihood of being able to do these things and to achieve the intended result of a community focal point strategy:

BUILD ON A FOUNDATION OF FACTUAL KNOWLEDGE OF THE EXISTING SITUATION AND FOLLOW LOGICAL PLANNING STEPS

Section 2

FACILITATING COORDINATION

Coordinated service delivery is the various methods by which services are brought together for ready access by potential users.

A community focal point for service delivery to older people has the responsibility to work with other agencies in the community. These may include planning agencies as well as those delivering services in such areas as: Education, employment, health, mental health, recreation, nutrition, transportation, etc.

The fundamental objective of such interagency operations is to build a system of services for older people in the community. This goal can only be achieved with hard work and patience.

Developing and maintaining good interagency relationships requires attention to the following principles:

- o Coordination is a means, not an end. The older person in the community is foremost and always the reason for developing and maintaining a network of services.

- o The leadership of a community focal point should have a thorough knowledge of the community within its scope of operation and of all the agencies and groups that make up the community care system.

- o Linkages must be based on mutual need and mutual benefit.

- o The needs, diversity and interests of other agencies and groups must be recognized and honored.

- o Good linkages take time. Coordination is a growing, developing process that needs care and attention.

- o The human element in coordination is essential. Strong creative leadership and commitment are vital.

- o Interagency linkages must be based on agreement on the appropriate role and scope of each agency and on agreement regarding the nature of the linkage.

In this unit, we consider the range of interagency linkages that can be used by a community focal point to improve and strengthen a system of

services for older people. We then discuss how to negotiate and develop linkages. Finally, we cover joint agreements establishing linkages between agencies.

INTERAGENCY LINKING MECHANISMS

Given the resources we have, how can we most effectively serve the older people in our community? This is a question that agency administrators frequently ask themselves as they attempt to maintain a balance between increasing service demands on the one hand and diminishing human service dollars on the other. Soaring service costs and limited resources of time, money, space and staff are common constraints under which most agencies operate.

Building an effective service delivery network requires agencies to look beyond narrow individual interests and find ways in which they can work together for the maximum benefit of their agencies, their community's service system and their clients. The community focal point agency can take the lead in helping agencies to understand the benefits to be gained from interagency coordination and can offer support and expertise to organizations that wish to establish links with others in the community.

Interagency collaboration produces multiple benefits for all system participants. Links between agencies serve to enhance each organization's ability to attain its individual objectives, increase the overall efficiency of the service system and, most importantly, provide older people with easier and more continuous access to services. More specific benefits to be derived from interagency linking are briefly described below (see Appendix II-C: Local Coalitions: Cooperation & Coordination ...).

For the Agency:

- As agencies work more and more in contact with one another, the value of individual agency programs will become more evident to the community.
- Working with others can mitigate an individual agency's limitations imposed by lack of funds, staff, space, etc.
- An agency's ability to be responsive to older people's needs will be increased.

For the Service System:

- Fragmentation and duplication of service efforts can be reduced, making existing service resources go farther.
- Competition for scarce resources can be lessened.
- Individual agencies within the system can help each other make the best use of their services, thereby increasing the system's overall strength.
- Coordination increases the system's responsiveness to older people.
- New channels for information sharing are produced.
- Gaps in service can more easily be identified and additional services planned.

For the Older Person:

- Available assistance will be more comprehensive.
- Information about many agencies' programs will be easier to obtain.
- Services will be more accessible.

While all attempts to build bridges between agencies may start

with the need to improve agency interactions, the way in which agencies work together will vary according to each participant's objectives and resources. Regardless of the linking mechanism or activity selected, its successful implementation will be based largely on the agencies' mutual agreement concerning each of their roles, their level of anticipated effort and the nature of the link(s).

Knowledge of the various types of linkages is a first step in establishing cooperative arrangements. Like any joint effort, successful development of interagency linkages requires a considerable amount of time, energy and commitment on the parts of all parties involved.

Develop clear and realistic goals and objectives. Planning for interagency linkages should start within your own organization. Put in writing your agency's need for and expectations from interagency linkages. Answer questions such as: "Why do we want to link with another agency?" "What do we hope to achieve through linkage?" "What are the benefits to our agency, our community and our client population?" Addressing these questions should help you to determine your long-range goals and immediate objectives.

Assess your agency's resources. Linking with another agency requires a commitment of time, money and staff on the part of your organization. Assess whether or not this is the best time to allocate resources to an interagency project. Will a commitment of resources interfere with the successful continuation of your agency's other programs? Weigh the benefits to be derived from interagency linkages against the possible commitments you will have to make.

Determine the organization(s) in your community with whom you might have the most success in linking. Interagency linkages may be most successful between organizations with compatible interests and goals. Similar needs and objectives between agencies help to lay the groundwork for participating in joint endeavors. Identify organizations whose functions, services and target populations are similar to yours. Identify organizations with programs that might benefit your agency and the older people you serve (see Appendix II-D1 and D2: Organizations and Agencies in Urban/Rural Communities). Consider, as well, the ways in which other agencies may benefit from linking with your organization (see Appendix II-E: The Linkage Chart).

Plan carefully with the other agency. Your degree of success in implementing the interagency linkage(s) will reflect the joint planning that precedes it. Mutual goal setting and agreement concerning objectives, procedures and the type of linking mechanism are essential elements in the process. From the project's conception, involve each participating organization and the key staff who will be responsible for the implementation of the linkage. Clearly delineate the roles and responsibilities for each of the agencies involved. It may also be helpful to establish time frames within which particular objectives should be accomplished. These can serve as benchmarks for assessing the progress of your joint efforts.

HOW TO NEGOTIATE

Some important techniques to help you to negotiate successfully with other agencies and organizations follow:

- Negotiate with a team of at least two people. Your agency director should be on the negotiation team.

- Put your suggestions for working together in writing. Make them simple and clear and be sure that

everyone on your team understands them.

- o Arrange to meet with other agencies for planning and negotiating linkages at some neutral location.

- o Before going into a meeting, have a clear idea of what you really want to accomplish. Identify what is negotiable and what is not and think of what you have that can be of use to another agency.

- o Begin the session by discussing elements or resources about which both parties are probably in agreement. Move from there to more controversial topics. Avoid discussing elements or resources about which no agreement is likely to be reached.

- o Don't expect too much too soon. The acknowledgement of potential or existing common objectives may lead to the development of joint objectives which, in turn, may lead to formal or informal joint agreements. In some instances, a generalized joint agreement may lead to the establishment of joint objectives.

- o Don't underestimate your power. Commitment, knowledge, hard work and bargaining skill are real sources of power. Remember that other agencies have something to gain by linkages, too.

- o Make moderate, balanced arguments. Don't lose your patience, demand the impossible, bluff or talk too much. Don't get involved in personalities.

- o Be prepared to accept some previously considered compromises. Don't get locked into a single unyielding position.

LINKAGE BARRIERS

Your agency will be more effective in its planning efforts if it is aware of and prepared to deal with the barriers that may interfere with establishing interagency links. Regardless of agency interests and recognition of the benefits to be derived from coordination, successful linkages between agencies rarely evolve without overcoming some obstacles. While such barriers may vary in intensity from community to community and relationship to relationship, organizations will invariably experience some obstacles as they seek to coordinate with others. Decisions about linkages can be made more easily if you acknowledge potential barriers and develop strategies for overcoming them. Some common barriers to coordination are briefly described below.

Turf protection may occur when agencies perceive a possible loss of autonomy. Relationships with others may be perceived as a threat to the status quo--as increasing competition for funds, clients or prestige gained from programs identified with a particular agency. To deal with this problem:

- o Be clear, precise and honest about goals and objectives.

- o Stress to agency staff and constituents that mutual relationships will enhance each agency's services, as well as the total effectiveness of the service system.

- o Be consistent and honor commitments-- this will help to build an atmosphere of trust.

- o Limit initial interagency efforts to nonthreatening areas such as information-sharing and developing new services to fill gaps.

Isolationism may occur when an agency does not perceive linkage with other agencies in the community to be in its self-interest. An agency may not be adapting its programs to the changing needs of the community and its elderly residents. Overcoming such resistance takes a considerable amount of time. Your efforts can be strengthened in the following ways:

- Determine in that agency the person(s) responsible for the isolationist policies and then assess the possibility of influencing the individual(s).
- Stress that interagency coordination enhances the strengths of individual agencies.
- Contact the agency's board and staff to inform them of the value of coordination.
- Have well-informed answers to possible objections to establishing interagency linkages.

Goal conflicts are persistent, difficult to resolve and sometimes beyond the control of the agency with whom you are dealing. Differing eligibility requirements, or policies formed by a parent organization or perhaps a state agency, can greatly complicate local coordination efforts. Even agencies that are autonomous at the local level may have difficulty resolving goal conflicts because of some degree of inflexibility on their part or because of the lack of common understanding or common definitions of services or procedures. Strategies for overcoming such conflicts include:

- Attempt to learn the operational policies of other agencies that might be contributing to the conflict; it is possible that a local agency may misinterpret or misapply state and Federal regulations.
- Pose a plan to resolve the conflict, work around it or coordinate in another manner.
- Focus on what is common between the agencies, rather than on conflicting policies or procedures.
- Provide the other agency with incentives to overcome goal conflicts, e.g., extending programs for the mutual benefit of the agencies, service system and older people.

Procedural conflicts between agencies attempting to work together may occur when individual agency guidelines differ. To minimize this problem in their efforts to cooperate:

- Take the time initially to work out interagency procedures so staff of each agency has a clear understanding.
- Develop channels of communication about procedures between agencies.
- Regularly evaluate the interagency relationship so procedural problems can be identified and dealt with efficiently.

Lack of time is a constraint common to all agencies. Administrators and staff often feel there is insufficient time to accomplish present job duties and none to expend on new, as yet uncertain, projects. This barrier may be circumvented in the following ways:

- Plan ahead to allocate a certain amount of time to community development efforts.
- Develop a commitment among the board and advisory group members so as to extend the number of people who may be involved in the effort.

Some Suggestions for Maintaining Linkages

- o Keep authority and responsibilities clearly defined.
- o Communicate and discuss mutual relationships often.
- o Allocate some responsibility for maintaining linkages among staff members, board and committee members.
- o Anticipate what could go wrong and plan how to react if it does.
- o Gain credibility and respect by regular follow-up.
- o Be accountable; fill your part of the bargain and a little more.
- o Give credit where it is due.
- o Assess each linkage on a regular basis.

Strategies for Improving Linkages

- o Assess whether the current linkage arrangement is the best way to relate to the particular agency: For the focal point? Older people? Other agency? Community?
- o Does a linkage increase opportunities for more relationships?
- o Assess the history of a relationship. Are the results worth it?
- o If there is a problem with a linkage, details of the problems and possible solutions should be discussed with the other agency and members of the community affected by the relationship.
- o Identify the specific barriers to to an effective linkage, such as turf protection, isolationism, procedural conflicts, lack of time or lack of understanding by agency leadership.
- o Armed with knowledge, discuss the relationship openly with appropriate persons from other agency.
- o Consider formalizing a linkage in writing or consider maintaining it on a more casual basis--whichever seems more helpful.
- o Appoint a committee to work on the problem or improve the relationship between the community focal point and the other agency.
- o Analyze the problem:
  - --Do we get regular feedback on how linkage is working?
  - --What is the difference between what is being done and what is supposed to be done?
  - --What specifically has happened to cause a breakdown?

--Will doing anything differently have worthwhile results?

--What possible changes can be made to improve the situation?

o List solutions that may be possible to implement.

Have You Arrived? And How Do You Know When You Get There?

o Has the linkage arrangement accomplished the expected results?

o Has the linkage improved accessibility of services for older people?

o Has the linkage allowed more people to be reached? New groups of people to be reached?

o Has the linkage increased the efficiency of the community focal point's operation in any way?

o Has the linkage increased the efficiency of other agencies in any way?

o What changes have occurred as a result of the linkage? Positive? Negative?

o Does the linkage arrangement contribute to the community focal point's mission or goal?

o To what do you attribute the success of a relationship? Is that transferable to other linkages?

o Has the linkage increased the community focal point's impact on its neighborhood or community?

o Are older people satisfied with the results of the linkage?

JOINT AGREEMENTS

A joint agreement is a documented understanding between two or more agencies or organizations that have separate staffs or functions. These agreements may range from the general to the specific. They may be informal--for example, a verbal acknowledgement or confirmation letter between two agencies stating that they have agreed to talk about common problems or formal--for example, a signed, legally binding agreement between the community focal point and another agency to commit resources towards developing a new program. Joint agreements are a necessary part of interagency operations; they establish interagency linkages.

The term **working agreement** is usually used to refer to less formally arranged linkages. The goals and objectives of working together may be quite general, and few actions may be specified. Loosely defined working agreements are often the first step toward establishing a linkage between two agencies, because they permit the parties involved to modify and further develop their relationship as their needs change or as they become more familiar with each other's policies and procedures. This type of arrangement can be made more formal by the witness of a notary public and/or by the language used in drafting the agreement (see Appendix II-F: Formal Working Agreement).

Contracts, on the other hand, represent a more formalized mechanism for linking agencies together. Unlike informal working agreements, contracts have specific goals, usually accompanied by defined activities for achieving them. While working agreements are usually less definite in duration, contracts are time-limited. Contracts are further differentiated from working agreements by the degree of accountability involved. In a contractual agreement, each of the

parties is legally accountable for delivering the services, resources, expertise, etc., that it has agreed to render. Since working agreements are less binding and specific by nature, the element of accountability in this type of cooperative agreement is greatly reduced.

Should We Develop A Formal Contract or An Informal Working Agreement?

A major benefit of a contractual agreement is that it clearly delineates the responsibilities of each of the parties involved. This type of agreement is most useful when arrangements between agencies involve such issues as fiscal accountability, liability, shared expenditures or extensive commitments of time. In situations involving a considerable investment of money, time and staff resources, a formal agreement has the advantage of maintaining working relationships even if the directors of the agencies change. The following are situations in which contracts may prove useful:

- o Projects involving an exchange of funds require that each party be accountable to the other, as well as to their respective boards. If one agency purchases services from another--for example, an AAA purchasing homemaker services --each needs to know what it can expect from the other in terms of the number of service hours to be delivered, cost of service per hour and other attendant costs. Similarly, if agencies agree to jointly commit funds to develop a new gap-filling service, it is crucial to the success of the project that each have a clear understanding of and be accountable for the terms of the agreement. A contract would be helpful in specifying each party's investment.

- o Projects involving shared use of resources may function more smoothly if the terms of the agreement are clearly stipulated beforehand. For instance, agencies sharing the use of a vehicle for transporting handicapped participants need to be clear about its availability so each agency can plan efficiently. Another example--colocated agencies who share the services of support staff may need to formally negotiate the costs involved so each can budget appropriately.

- o Projects involving the assignment of legal responsibility to one or both of the parties may find a formalized agreement useful. For instance, if a community focal point leases a portion of its facility to another agency, it may be of benefit to formally clarify each agency's responsibilities for building maintenance, use of equipment, insurance of other conditions of liability.

- o Linkages involving an ongoing commitment of staff time may find a formal written agreement useful in solidifying staff commitments and in clarifying roles and lines of authority. Examples of such linkages would be: (1) a visiting nurse outstationed twice weekly at a community focal point to perform health screening; or (2) a mental health agency conducting a series of training sessions for community focal point staff.

While some agencies may find contractual agreements useful because they more clearly define roles, responsibilities and expectations, other agencies may resist such formal agreements because they perceive them to be too binding. Agencies which have less defined purposes for working together may prefer the flexibility

that a less formal agreement provides. In instances where agencies do not want or need formalized interagency procedures, an informal agreement to work together may be appropriate.

For example, agencies may agree to refer clients to one another but may not find it necessary to standardize referral procedures, or an agency that provides free consultation to another on a case-by-case basis may have little need to formalize the relationship. Agencies which have not formerly worked together in the past may prefer an informal working agreement as a way of establishing initial trust in one another's capabilities.

Your decision to develop a contractual or informal agreement should ultimately be based on what works best for your organization. This will depend on the quality of the working relationships in your community, the needs and influences of the particular parties involved and the objectives to be achieved through working together.

Developing Joint Agreements

Some generic principles commonly apply across all the types of negotiated agreements. The following suggestions are offered as a guide for developing successful interagency agreements.

- Cooperative projects should be jointly planned, jointly conducted and jointly evaluated. To be fully behind the project, an organization must have a voice in setting it up and in determining what responsibility it will carry. An interorganizational project committee may be a useful tool for accomplishing this.

- It is essential that each organization have a clear understanding of its responsibilities and the time schedules involved. Commitments should only be made when agencies are absolutely certain that it will be possible to fulfill them.

- All agencies must genuinely want to cooperate. This means that members must take a sufficient amount of time to develop commitment, so that once the decision to work together has been made, everyone will enter into the arrangement with enthusiasm and conviction.

- If the time comes when either or any of the cooperating organizations wishes to discontinue its participation in the joint effort, notice should be given well ahead of the termination date. This will make possible a careful and thoughtful evaluation by all parties to the project to determine whether it should be continued or perhaps gradually terminated. Obivously, a choice to continue might necessitate one organization's assuming total responsibility, or it might be necessary to find another organization to replace the one that is withdrawing. In any event, participation in cooperative projects carries the inherent obligation to proceed in all phases in a most reliable and responsible way and to make doubly sure that any organization's change of plan will not be hurtful to the other groups involved, the persons served by the project or the general community. 2/

2/Urban Elderly Coalition, "Criteria and Policies for Cooperative Relationships," April 1978, p.3.

Section 3

ACCOUNTABILITY

Community focal points are responsible to the community to fulfill certain obligations and to give account of them. Those obligations and how to fulfill them are the subjects of other chapters of this manual. This section focuses upon the nature of accountability, reasons for making an accounting, to whom and some approaches to help carry out this responsibility.

Accountability can be defined as having the responsibility to give an accounting. It may be viewed as an obligation to document resources spent and results obtained. Pressure for such accountability in the human service field has increased during recent years with the expectation that agencies will identify their use of resources and their progress.

Community focal points will be expected to account to their sponsoring and funding agencies. They will have an equally great need to provide an accounting to their own planning and governing bodies and to their communities. Each community focal point organization faces numerous challenges, which increase the pressures for accountability. Among the challenges that heighten this need are:

- o the expectation that community focal points will link resources from a variety of agencies
- o the expectation that access to services will be improved
- o the expectation of cooperation between a number of public and private organizations
- o the high visibility community focal points will have in their communities
- o the need to be responsive and accountable to numerous constituent groups.

Before addressing some methods to use in developing a system of accounting to the community focal point's many constituent groups, we will look first at those who comprise such groups and the types of accounting pertinent for each.

Account To Whom? And For What?

Organizations providing or advocating for human services are usually involved with more people than a group

of clients. In the case of community focal points--given their mandate to link and coordinate with multiple agencies and organizations--the list of groups to whom accounting obligations may be incurred is both extensive and varied. The exact composition of such groups for an individual community focal point is defined partly by geography, partly by local political realities, partly by the customs and culture of the area and partly by the needs of the community focal point task as locally defined. Within the state, city, county and neighborhood boundaries defined for each community focal point, they will need to be aware of varying degrees of responsibility for accountability to some or all of the following:

- o community-at-large
- o older people
- o funding sources
- o service agencies and organizations
- o community focal point staff, advisory and governing body members
- o local government
- o business and professional community
- o other community institutions

The nature of accountability appropriate to each of these will differ. We will first discuss briefly something of accountability for these groups and then turn to some

suggestions for how to carry out this task.

Community at Large. While giving consideration in the following paragraphs to responsibilities for accounting to particular segments of the community, it should be noted that there is a responsibility to account to the community-at-large. Such accountability encompasses fairly general information about the existence, purposes, methods of operation and accomplishments. This accounting should also inform as to ways in which community citizens not only can avail themselves of the community focal point's services, but also ways in which they may provide assistance and how they can participate in the planning and decisionmaking process.

Older people. This group of potential clients for service may be thought to be more concerned with how a community focal point improves their access to service than how well the organization is managed. However, whether they make use of services or not, older persons may have a kind of proprietary interest in such an organization along with a right to assurance of continuity and quality of service. Governance, planning and decisionmaking and a number of management issues impact upon continuity and quality and, thus, will be of interest to members of this group.

Information on the nature of the activities fostered by the community focal point, on its efforts to improve access, on its decisions as to areas of service and particular client groups toward which to target service, are all appropriate areas for accounting to the community focal point's client population. Linked with making such information known, there should also be a mechanism for receiving comment, reaction and suggestions back from this group. If a community focal point has made its major thrust the improvement of service to a particular client group which it feels has had least access--for example, physically, mentally or economically handicapped--not only should the fact of this decision be made known but also the rationale for doing so. The comments in Section 1 of this unit regarding involvement of the client community in the planning for a community focal point are relevant with regard to accountability as well.

Community Supports. While there is no single identifiable natural support "network" as such in a community, natural supports do exist and form a very important--some would say the most important--part of the framework of services to older persons. This so-called network is likely to be comprised of the citizens most acutely aware of older persons' needs and those most likely to be able to assist community focal points in attempting to meet those needs. These supports are formed around several types of persons and organizations in a community: (1) friends, neighbors and relatives of older people; (2) churches, including clergy, lay religious leaders and church-related organizations, and (3) community charitable and volunteer organizations, and (4) those groups of citizens who frequently are the link between older persons and the larger community, such as mail carriers, meter readers, apartment complex managers, grocery store clerks, law enforcement personnel, taxi drivers, etc.

The extent to which accountability to community support groups is necessary beyond that provided to the community at large will be dictated largely by the extent to which their involvement is seen as important and desirable in a given community. The nature of such accountability may appropriately focus on general information as to the existence and purposes of the community focal point effort, along with providing a mechanism for involvement and feedback to the community focal point.

Funding Sources. Community focal points, like other organizations and agencies, are accountable to their funding sources for demonstrating that funds they received have been used in the manner and for the purposes intended. The nature of the community focal point frequently will mean there are a number of such funding sources, rather than only one, to which to account. This may result in varying requirements for information. Awareness of these requirements and early planning for the accumulation of the data necessary to respond to them are important steps. In addition to strict accounting funds, these funding sources should also receive periodic information concerning the problems encountered, attempts to resolve them and the community focal point's assessment of services rendered.

Other Community Service Agencies and Organizations. Presumably, many of these agencies and organizations will be linked into the community focal point organization. Others will be less closely tied in but potentially may represent services to or from which some referral will be made and received. The nature of accountability to such groups will vary somewhat, depending on the nature of the relationship. For example, an organization which is a fully participating agency with the community focal point may, in fact, also be a member of an advisory or governing board. Accountability in that instance will be extensive. In a relationship of lesser intensity, accountability may extend only to accounting for specific client outcomes and the types of general information provided to the general public.

Local Government. Even if representatives of local government are directly involved with the community focal point, for example on the governing or advisory bodies, it will be good policy (and good politics) if the community focal points plan for a regular accounting to their local governments. Such accounting may encompass legally required reporting (if, for example, the local government is a funding source) but usefully may be broader than that. Local governments have an obligation to be aware of programs affecting their citizens, thus it will be important to provide them with information on the goals and objectives, the legal structure, the process for decision-making and governance as well as the receipt and use of funds. The extent to which service goals are met and the rationale for service-targeting decisions will also be relevant and appropriate information.

Business and Professional Community. Organizations and individuals from this segment of the community also may be in the other categories, such as funding sources or members of advisory/governing bodies. To the extent that this is the case, they should receive information from and about the community focal point effort appropriate to those groups. They should also receive the type of information discussed under "Community at Large". In addition, however, many persons in the business and professional community will have other interests and concerns regarding the community focal point's activities. Many of these individuals (for example, attorneys and physicians) will have clients who are older people. They will be interested in knowing how the community focal point process affects their clients and how it proposes to support and coordinate with their own activities. The great variety of business and professional activities in a community also are potential sources of expertise for the community focal point organization. Particular effort should be made to assure that professional organizations are informed and involved in the community focal point's activities. This is true both from the standpoint of

providing information to them but also in creating opportunities for obtaining their special knowledge and suggestions.

Other Community Institutions. There are a number of community institutions of which community focal points should be aware and to which information about the community focal point's activities should be directed. Such institutions include schools and universities, libraries, museums, recreation centers, private foundations and others. Community focal points have an obligation to be aware of these institutions and their service potential, to involve them in its activities and to coordinate with them.

Community Focal Point Advisory Council, Planning and Governing Bodies and Staff. Last, but most definitely least, there is a responsibility to account internally. While the roles and legal responsibilities of these groups differ, each has responsibilities for planning, organizing and/or carrying out the purposes of the community focal point program. Thus, they will require more frequent and more complete accounting of the activities of the community focal point--how past problems have been dealt with, proposed changes or modifications, financial accounting, personnel matters, relationships with other agencies and its progress toward achieving its goals.

Separate processes for accounting to each of these community groups is not being suggested. Such an elaborate approach is neither necessary nor a good use of scarce staff time and resources. Rather, it is urged that attention be given to the needs for accountability and for mechanisms that will make it easier to account appropriately to these various constituencies. The existence of a simple but basic set of records, as discussed in Unit I, will go far toward making the process achievable and relatively painless.

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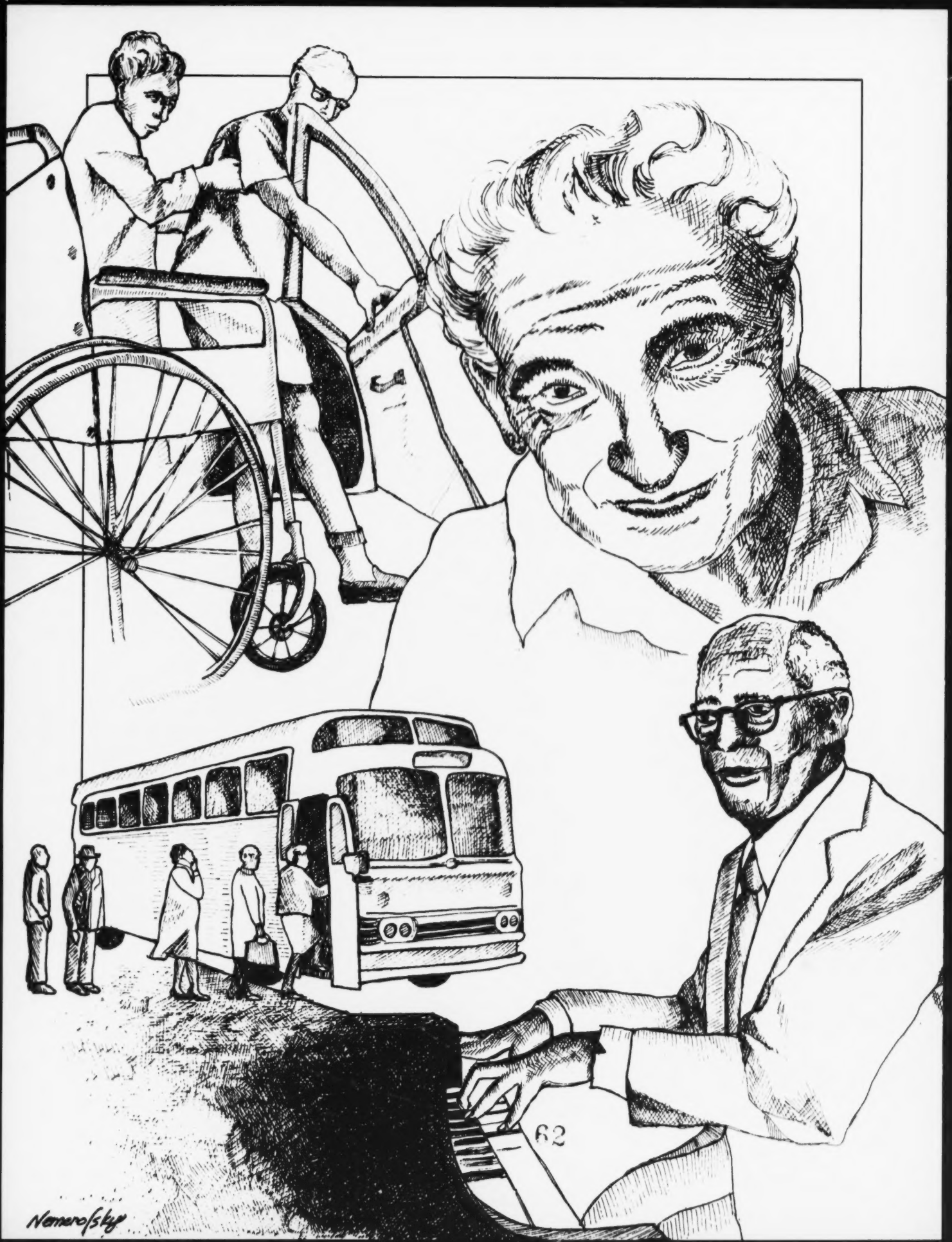
ACCESS TO COMPREHENSIVE SERVICE DELIVERY SYSTEMS

Section 1: Outreach
Section 2: Information and Referral
Section 3: Case Management
Section 4: Advocacy
Section 5: Volunteers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UNIT III

ACCESS TO COMPREHENSIVE SERVICE DELIVERY SYSTEMS

INTRODUCTION

The first two units of this manual have discussed management of the community focal point agency and some ways of developing a comprehensive system of service delivery for older people in the community. We now turn to methods for providing access to this well-managed, comprehensive system to the people for whom it exists.

In trying to provide services to older people, it is necessary to be mindful that there are some aggravating features in growing older. Man is both a dependent and independent creature. Dependence on other people is irritating to the elderly, and the manner in which we often and unskillfully try to handle the older person arouses unpleasant reactions. They are sensitive about their economic dependence on others and acutely aware of their loss of social prestige. Often they feel they are no longer wanted or needed. Older adults find that age chips away at their sense of independence, and gradually they may become more dependent.

It is often difficult and painful for them to accept the idea that they can no longer rely mainly on themselves for fulfillment of their needs. As their dependence on others increases, often their self-regard decreases. In our western society, a strong work ethic is closely associated with one's identity. Older adults can feel they do not belong in society because they cannot contribute their share any longer. When they were younger, they could more readily find substitutes for what they had lost. As individuals age however, losses, such as the death of a husband or wife, inability to walk and the end of a career, are often permanent. Much that was familiar and comfortable is gone, and old habits must be changed.

Dr. Robert Butler, in his book, Why Survive? Being old in America, indicates some characteristics of older persons. However, it should be noted that these characteristics do not place the older person in prescribed roles. Dr. Butler says that "late-life characteristics are tendencies frequently observed in older persons. They are not inevitable nor are they found to the same degree in each person who manifests them." Here are Butler's 10 late-life characteristics which tend to appear frequently among older persons:

1. Change in the sense of time. When one is young, one feels that whatever one fails to accomplish today can be done tomorrow or

the next day. Children, for example, are extremely future-oriented. Since the future is short in old age, one's perspective of time is shortened as the end of life approaches. With this perspective of time, there are those who will retreat to the past. Others stress the value and importance of the here and now, of living in the moment. Quite often the elemental things of life take on greater importance as one sorts out the significant from the less significant.

2. Sense of The life cycle. The older person can experience in a personal sense the entire life cycle. Contributing to this understanding are at least six psychological elements: Awareness of death; unfolding process of change; experiencing a sense of time; sense of life experience; accumulation of factual knowledge, and the idea of stages.

3. Tendency toward life review. The realization of approaching death stimulates the elderly to relive and review past experiences. Such review is "characterized by the progressive return to consciousness of past experiences, in particular the resurgence of unresolved conflicts which can now be surveyed and reintegrated. The old are not only taking stock of themselves as they review their lives, they are trying to think and feel through what they will do with the time that is left and with whatever emotional and material legacies they may have to give to others." Through this process, they may resolve troubling conflicts and fears. Attentive listeners may help the elderly to recount their lives.

4. Reparation and resolution. "Older people are constantly writing and rewriting the scenarios of their lives. They try to resurrect and come to terms with regretted actions of commission and omission out of their past. The impulse to atone is more common in those who sense that time is running out."

5. Attachment to the familiar. Familiar objects facilitate the life review and provide a sense of security. Familiar objects provide a sense of continuity, comfort and satisfaction for the elderly.

6. Conservatism of continuity. Older people have the opportunity to appraise, extract and pass on knowledge to the younger generation.

7. Desire to leave a legacy. Legacy refers to a deep desire within older people to leave something behind when they die. The motivation toward leaving a legacy may be quite varied: Wanting to be remembered; tidying up responsibility before death; wishing to remain in control in some way even after death, etc.

8. Transmission of power. One of the psychological issues of old age is when to surrender one's power and authority to others. Examples of the transmission of power are evident in the older person's giving over of property or businesses to one's children or allowing a son or daughter to make certain decisions. Dr. Butler makes a salient point when he states that "too often the elderly, especially the disadvantaged elderly, are deprived of their power without their consent."

9. Sense of consummation or fulfillment in life. Older per-

sons may experience a sense of satisfaction and pride on looking back over their lives. An individual's life does not have to be a "success" in the popular sense of that word in order to take pride in a feeling of having done one's best.

10. Capacity for growth. The capacity for creativity and wonder need not decline with old age. An individual may become creative in his/her winter years when past burdens and responsibilities lessen.

In order to understand someone, one must really want to do so. This moves beyond understanding one's own attitudes and feelings about aging and the aged to the desire to really understand someone else. General knowledge about the elderly cannot take the place of seeking to relate, know and understand the particularity of each older person. A number of years ago, a member of the Society of Friends summed up the basic needs of the elderly simply and succinctly: "Somewhere to live, something to do and someone to care." An ingredient of caring is to know something about the person, at least in terms of his/her particular interest, strengths and limitations. To know the older person takes time and patience, but it can provide for the person who cares and wants to understand a foundation for better understanding the beauty, strength and needs of the older person.

With this understanding, we can implement with sensitivity the ways of helping older people to take advantage of the community services which are discussed in this unit.

Section 1

OUTREACH

This unit focuses on assisting older persons to gain access to services through systems of outreach, information and referral and case management. A section on volunteers has also been included because of the importance of voluntarism in providing and accessing services for older people and because of the service that older people can give to the community through volunteering.

What is Outreach?

Outreach is a linking mechanism to locate and draw into the service system those older people who have unmet needs but have not used the social services available in the community.1/ Elderly persons' underutilization of community resources can be attributed to a number of factors --lack of knowledge of available services, embarrassment or fear of admitting the need for help, the inability to function effectively enough to obtain needed services or a lack of trust in the person or agency offering the service.

The community focal point has a commitment to introduce and connect those in need to the network of support services, and outreach is an integral component of a comprehensive service program. Reaching out into the community serves a dual purpose by informing potential clients of the particular service(s) the community focal point agency may offer and "spreading the word" about the help the broader community can give. Such efforts also serve to increase other agencies' awareness of the needs of the community's elderly and to identify potential target groups for services.

How to Provide Outreach

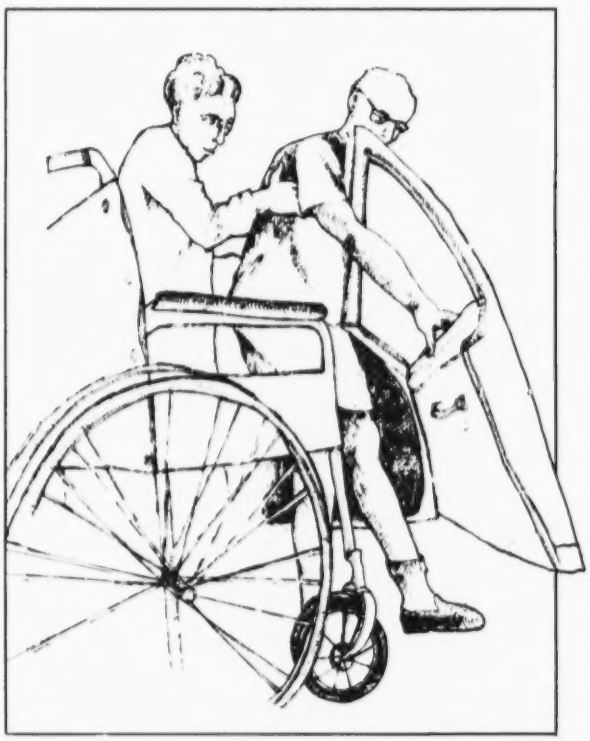
Information dissemination is the most basic function of an outreach program. Activities to accomplish this may include distributing agency brochures in the community, placing posters in elderly housing units, senior centers or other places where the elderly may congregate and agency presentations at community or civic association meetings or other gatherings of seniors. This rather passive approach assumes that the

1/Kirschner Associates, Inc., How-To-Do-It Handbook for Integrated Services Programs for Older Persons, Volume II-"Program Elements," (Washington, D.C.:DHEW, June 1975), p. 116.

older person can and will seek assistance on his or her own initiative. But, as one author states, "To serve only those who can get to an agency on their own is to limit services to the relatively strong--those who are able to look at their problems, to know they need help and get themselves to and through the door of the agency." 2/

A segment of the elderly population, sometimes referred to as the "hard-to-reach," may not avail themselves of needed services. Limited by severe physical disabilities, depressed and perhaps unable to see the possibility of a more satisfying life for themselves, they often perceive reaching out to an agency as beyond their capacity. Some older people, particularly those in large, urban areas, live "invisible" lives in single rooms, small apartments and deteriorating hotels. These individuals are the hardest to reach because they may be known to only the checker at the corner grocery store. Connecting these difficult-to-serve people to the service system requires very active and persistent outreach efforts, first to identify them and then to provide assistance and encouragement for them to utilize the services.

Identifying all of the needy elderly in the community requires a level of effort that is frequently beyond the resources of any single agency. Coordination and involvement of multiple agencies and key neighborhood residents both maximizes use of available community resources and establishes a network of formal and informal supports for the older person. The following methods are useful



for locating and serving hard-to-reach people:

- **Contacts with social service agencies** are of particular benefit in identifying and serving the isolated older person. The first step in this method of case finding should be to systematically seek out local agencies serving the elderly. Find out who is doing outreach, what kind, how, and then discuss ways to work together. Become acquainted with individual staff members and share information about the community focal point's objectives and activities. These agencies should be asked routinely to refer the names of those individuals who might benefit from outreach workers' contact. This interagency communication also offers an excellent opportunity for exchanging information about the agencies and for exchanging referrals. Assembling

2/F. Estelle Booth, "The Neighborhood Center: Effective Instrument of Outreach," in Challenges Facing Senior Centers in the 1970s (Fifth National Conference of Senior Centers: 1969).

an advisory committee composed of representatives of potential referral agencies is another mechanism for building a community commitment and for organizing an approach to reaching out to older people who are hard to find and serve.

- **Contact with other professionals in the community,** such as physicians and clergy, is another potential means for locating hard-to-reach older people. Written information about the community focal point's outreach program should be made available, along with the name of an individual to contact for referral.

- **Contacts with the natural support networks** are invaluable in locating the more isolated elderly who may be unknown to the formal service system. Such networks may include family members and neighbors, as well as apartment building managers, supermarket clerks, mail carriers and liquor store operators. This approach to identifying the frail and vulnerable elderly has been successfully implemented by the Gatekeeper Program in Spokane, Washington. (Note 1) Assistance is solicited from individuals who come in contact with elderly people during the normal course of business. "Gatekeepers," as they are known, are trained to identify and refer older people who need help but lack friends, relatives or other resources to assist them. A telephone exchange, manned 24 hours a day, is available to receive referrals. A professional case manager follows up with the potential client, then contacts the gatekeeper to thank him or her.

- **Agency clients** should also be encouraged to identify and refer their older neighbors who might benefit from services.

In addition to the methods described, another useful approach to identifying the more isolated elderly is an intensive door-to-door campaign. "Starting where the client is" has long been a social work dictum for guiding the helping process. Door-to-door canvassing can be used for locating clients, for evaluating their emotional state and for determining their willingness to accept assistance. Senior housing is an excellent starting point for such outreach. The use of census data and the voter registry to locate those areas with the most older people is another suggested method. Mailing informational material to households with elderly residents is a technique to be considered once older people have been identified. A response card in a stamped, self-addressed envelope can be included.

For the isolated person who may not be persuaded to use available services by referral or by information sent to the home, an outreach worker may need to provide assistance and encouragement in a face-to-face contact. This may, in fact, be the most useful method, since during the personal contact the worker has an opportunity to assess the needs of the older person and the barriers which have prevented the use of available resources. The older person is told about the services which will be helpful in addressing unmet needs and shown how to go about getting the needed services.

(Note 1) Further information about the Gatekeeper Program can be obtained from Eastern Washington Area Agency on Aging, West 1101 College Avenue, Room 160, Spokane, Washington 99201

How to Help the Older Person Use Services

Beyond finding and motivating the difficult-to-reach person, a next step in the reaching-out process is to ensure that the individual will continue to utilize needed services. A positive first impression of the service rendered is extremely important, because a hard-to-reach person often expects to have a negative experience, something which will bear out his/her expectations of failure and feelings that services will be unsatisfying. 3/ Booth suggests a variety of techniques that can be used in building a supportive environment in a senior center. 4/ These techniques can be adapted for use in a community focal point:

- **Create a welcoming climate.** The worker should be available at the door to welcome the reluctant older man or woman...and to get him/her quickly into a situation which will put him/her at ease and give a maximum sense of well-being.

- **Develop special groups to sustain program of activities to appeal to the hard-to-reach older person.** To attract and serve the varied personalities, needs and interests of older people, an extensive program of different types and levels of activities must be offered. A useful approach to program planning is to have each new member complete a questionnaire regarding his or her interests.

- **Develop special groups to sustain the interest of the difficult-to-reach older person.** In general, most persons known to be hard-to-reach seem to do best in a large group at first where they can play a spectator role: Movies, lectures and discussions where they are not called on are appropriate. The second step should be in a group where there are perhaps three healthy persons to each individual who is "socially handicapped," with the difficult-to-reach person receiving liberal support from a worker prior to entering a group, as well as support from other members of the group.

Depressed, physically handicapped isolates are usually the hardest to reach. Failing vision, poor hearing,

3/ F. Estelle Booth, "Reaching Out to the Hard to Reach Older Person" (The California State Department of Mental Health, 1967), pp. 8-9.

4/ Ibid., p. 21

speech problems, confusion, crippled hands or unsteady locomotion can make the simplest activities difficult and can require much effort. In order to give immediate satisfaction, projects should meet these requirements: Be simple, attractive, adult, inexpensive, require little sight or dexterity and preferably be finished in one session.

A special group to which each applicant for membership is routinely assigned for special attention can be most helpful. The group should be kept to a maximum of 15 persons to give each newcomer sufficient opportunity for maximum satisfaction during the first few visits to the group; a closer relationship with staff, and beginning friendships with peers who are also new. This group can also give the workers the chance to know the individual--his/her needs and interests, the reason he/she is coming to the group and his/her problems.

The approaches and techniques described here have concentrated primarily on the lonely, isolated elderly, as they are the individuals who are most likely to be in greatest need of assistance and the most difficult to reach. These outreach approaches for identifying, motivating and sustaining the interest and participation of the difficult-to-serve elderly are presented as a guide for the senior center or other community focal point agencies. Techniques and activities involved in the reaching-out process are, of course, determined by the needs and resources of the community, as well as those of the community focal point.

Section 2

INFORMATIONAL AND REFERRAL

Why an Information and Referral Component?

Many older people are unaware of the services available to them when they are in need of assistance. For example, the older person recently discharged from the hospital who has no relatives or friends may not know where to turn for assistance; the individual who is experiencing financial problems may know little of Federal entitlements and benefits, or the family whose aging relative needs assistance to remain independent may be unaware of the supports the community can offer. Lack of awareness of community resources is an important barrier to accessibility. Access to services may be further impeded by the difficulties older people often have in negotiationg complex and fragmented systems of health and social services.

To fulfill its goal of being a centralized resource for the elderly, the community focal point must have the capability of providing, either formally or informally, immediate information and direction to older persons with differing kinds of needs and problems. An information and referral (I&R) component provides the communication link necessary to connect older people in need with the services available to support them. By offering concise information about existing services and their eligibility requirements, and by providing assistance in connecting the older person to the appropriate resource(s), the community focal point enhances its role as an access point, an entryway to the larger network of services.

An I&R service also has the potential for effecting beneficial changes in the service system. 5/ As a central resource for collecting and storing requests for information, an I&R program has the capability of collecting data on services most needed by the elderly, as well as uncovering and identifying those service areas in which there are gaps. Thus, an I&R component can further enable a community focal point to be an effective participant in future planning and development for the elderly.

5/ Donald E. Gelfand and Jody K. Olsen, "Information and Referral," in The Aging Network Program and Services (New York: Springer Publishing Company, 1980), p.65

Not every community focal point should seek to develop an independent I&R component. In some communities, another agency has traditionally provided this service. In other communities, a decision may be made that another agency can more appropriately provide I&R. The community focal point has a major responsibility in these instances to work effectively with the I&R service agency.

The remainder of this section moves beyond general description to a discussion of characteristics, various tasks involved in developing an I&R component, ways of linking a community focal point to an already established I&R program and levels of I&R service.

Essential Characteristics of an I&R Component

In order for an I&R component to fulfill its mission of linking older persons to the services they need, the elderly must be able to use it freely, comfortably and openly. 6/ To be effective, an I&R service should be:

- **Non-stigmatizing.** The service should be available to all elderly persons in the community who need and/or want it.
- **Confidential.** Inquiries should remain in confidence unless permission to share information has been obtained.
- **Accessible.** This suggests reaching out in special ways and relying heavily on the telephone in providing service. An I&R program may consider a 24-hour telephone exchange to enhance responsiveness.
- **Sensitive.** The I&R service should be sensitive to the feelings and problems of older people.
- **Efficient.** Service should be provided when it is requested or as soon as possible after the request is made.
- **Friendly.** The older person should be made to feel comfortable in using the services. Friendliness sets the stage for whatever is to follow.
- **Reliable.** Information given should be accurate and dependable in order to avoid wasted effort or misguided planning for the older person.
- **Accountable.** An I&R service should be accountable or responsible to the elderly and to the community for the services it provides and for reporting and communicating its experiences in linking the elderly to community services.
- **Neutral.** An I&R service should be non partisan and non-sectarian.
- **Broad in Range.** An I&R service should include information about the broad range of human services that cover the full range of human needs in order to successfully fulfill its mission of linking older persons to the services they need. 7/

How to Develop an Information and Referral Component

Develop a resource directory that includes available service agencies, a

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6/ Excerpted from Institute for Interdisciplinary Studies, Information and Referral Services, "Notes for Managers."

7/ Ibid.

description of the services provided by each agency, hours of service and eligibility requirements. To be of value as a tool in providing information quickly and accurately, the directory must be: Complete--it should include information on all community resources; up-to-date--all entries are updated regularly and well-organized --its categories and index help the user find what he is looking for quickly and without wasted effort. 8/ Developing a resource directory requires significant planning to ensure that it meets the needs of the community. The following steps are suggested in planning a directory:

- o Develop a service file according to broad categories of service needs of elderly persons, such as:
  - ..financial aid services
  - ..health services
  - ..mental health services
  - ..in-home supports
  - ..legal services
  - ..housing services
  - ..employment services
  - ..leisure time activities
  - ..transportation
- o Identify and communicate with all agencies, organizations and individuals providing services to the elderly in the community in each of the listed categories. The following resources and contacts may be a helpful guide:
  - ..United Way directory
  - ..senior citizen guides to community resources
  - ..social service agency directories
  - ..classified telephone directories
  - ..city or county directory of community services
  - ..community action agency resource file
  - ..directory of area nursing homes and other care facilities
  - ..agencies such as the public health department, community planning groups, and the health systems agency
- o Obtain service related information from the identified resources via a personal interview or mailed survey.
  - ..Start with the large major community service agencies or organizations which serve the elderly.
  - ..Seek out smaller provider agencies providing care to older people.
  - ..Contact geriatric practitioners.
  - ..Contact other community resources that may occasionally serve older adults as a part of their total service program.
- o Obtain a complete description of each provider's service(s) and write a summary paragraph reflecting:
  - ..kind of service
  - ..eligibility requirements
  - ..availability of services, (e.g., hours, amount of notice

8/ Institute for Interdisciplinary Studies, Information and Referral Services, "The Resource File."

required by provider, waiting lists)

..bilingual capacity

..fees for service

..funding sources

..accessibility for handicapped persons

- o Send a summary copy to the contact person so it can be reviewed for accuracy and completeness.

- o Create a separate record for each agency or individual contacted following receipt of information. These separate records can then be compiled into a looseleaf book. (See Appendix III-A: Example of Provider Information Form for I&R Component.)

Develop standardized forms to facilitate client tracking. Forms should record nature of request or problem, action taken, I&R worker follow-up and any previous contacts with the I&R component. Statistical forms may be useful to compute the number and types of I&R requests per month, requests by service types, referrals made, assistance rendered beyond simple referral (e.g., counseling, escort, home visit) and cases where no action was taken. This information can be used to indicate gaps in information on the part of the I&R component, gaps in service or other problems in agencies that serve the elderly.

Staff training for all new information and referral personnel is necessary. The training content may be provided through formal presentations, staff workshops, films, role playing and reading assignments. 9/

Publicize the information and referral service through printed materials which present a concise description of the component, its objectives, ways it can be used, hours of service, telephone number and address.

How to Link the Community Focal Point with a Community I&R Program

In instances where a community already has an established I&R program, it is important for the community focal point to work with it to facilitate service coordination at the client level. Some methods for accomplishing coordination are briefly described below.

- o Provide the I&R program with concise information about the purpose of the community focal point, its service capabilities, address and phone number, hours of service and contact person(s).

- o Invite I&R staff to the community focal point so both staffs can meet one another and so I&R staff can observe first-hand the activities and services of the community focal point. Similarly, community focal point staff might visit the I&R program to observe its operation and make a presentation about the community focal point to the I&R staff.

- o Periodic interagency workshops may be convened to exchange

9/ For more detailed information on staff training, see: Kathleen Abbott, Monica B. Holmes and Douglas Holmes, Program Development Handbook for State and Area Agencies on Information and Referral Services for the Elderly (New York: Community Research Applications, Inc., 1977). p. VI-15 ff.

updated information about community resources and proper use of the I&R program and to promote interagency staff relationships which can facilitate the referral process.

- o Establish an interagency coordinating committee for planning purposes. This can be a useful mechanism for learning about the services most needed by the elderly and for identifying gaps in the service system.

- o Outstation an I&R specialist at the community focal point to facilitate easy access to the older person.

Levels of Service

As the term implies, the core services of an I&R program are providing information and referral. Client follow-up is usually included as part of these basic services. For some communities, this may be sufficient; in others, more linking services may be wanted or expected, such as short-term counseling, advocacy or case management. Possible components of an I&R program from the most basic to the most intensive and complex are described below:

- o **An information service** in its simplest form involves answering questions about programs, services, benefits, agency functions, policies, etc. Customarily, these contacts are brief and directly related to a need which the inquirer has identified. Limiting one's involvement to information giving is appropriate when working with the healthy, independent older person who is capable of making appointment and arrangements for service.

- o **Steering** the inquirer refers to giving advice and guidance after assessing the individual's circumstances. It generally involves further clarification of available resources and an individualized interpretation of how the particular policy or resource may apply or be used by the inquirer. Steering stops short of interagency contact.

- o **Referral** actively links the individual in need with the community resource(s) via an interagency contact. It may involve a phone call or letter on behalf of the older person or extend to escorting the individual to an agency. The need and extent of an agency referral is determined by the client and I&R worker in the course of assessing his/her need.

- o **Follow-up** involves a renewed contact with the individual who has been provided with information or a referral to an agency to determine if the person has been successfully linked to the needed service. It may also involve subsequent contacts with the agencies to which the client has been referred. Including follow-up as a component of I&R serves a service monitoring function and is a vehicle for further enhancing client access.

- o **Short-term counseling** provides emotional support and motivation, helps clients gain increased awareness and understanding of their problems and strengthens their coping abilities. 10/

10/ The first five points, information service through short-term counseling, are derived from Zietlow, James E. and

- o **Advocacy** clarifies communications between the I&R client and service providers. Advocacy may also occur on a broader level to effect changes in public policy related to the needs of all older people. Advocacy can range from representing one client in efforts to obtain service (case advocacy) to representing a group of people in need of a particular service (class advocacy) to representing older Americans as a whole (political/administrative advocacy). 11/

An information and referral service can be a useful tool in providing a two-way flow of information between the community and the older person. The material in this section is presented as a guide for the community focal point agency interested in expanding its capacity in this direction. The decision to develop an I&R component and the range of services it may include should be based on the other available resources in the community, as well as the resources of the community focal point (see Appendix III-B: Lincoln Information Service for the Elderly).

Peck, Delayne, "A Lincoln, Nebraska, Continuum of Care System for the Elderly," a presentation at the Region V Administation on Aging Training Consortium, Chicago, June, 1979, Appendix A.

11/ Abbott, Holmes and Holmes, op. cit.

Section 3

CASE MANAGEMENT

What is Case Management?

Case management is "a process which coordinates multiple services for individual older clients through a process of assessment, planning, arranging for and monitoring services." 12/ This process is not needed by all older people. Those who seek a single service, such as recreation or congregate meals, have other supports available to them or are capable of self-advocacy may not require additional assistance to reach the service system.

On the other hand, many older people who need health and social services also need assistance to identify, obtain and coordinate these services. Case management is most appropriate when used to help elderly people who have one or more of the following characteristics:

- o a presenting problem which is vague or ill-defined
- o a complex problem
- o a potential need for services from several providers
- o a set of circumstances which makes it difficult for the client to continue to live at home
- o a problem where the service considered could interfere with the exercise of the client's civil rights
- o a need for personal advocacy support

How to Conduct Informal Case Management

Many senior center and nutrition site staff have long been performing case management activities informally. Initiation of any service, generally requires that an intake interview be conducted. Along with eligibility determination, agencies may conduct a client assessment to identify the presenting problem and/or reason for service request. The intake process may include developing a plan of service-

12/ The general discussion of case management in the next several pages derives from Leonard Gottesman, Barbara Ishizaki and Stacey Mong MacBride, "Service Management--Plan and Concept in Pennsylvania," The Gerontologist, 19:4 (1979), p. 382.

related activities to help meet a client's particular set of needs.

On an informal basis, staff may perform many enabling functions to assist the older person in effectively utilizing the services of the community focal point, as well as in obtaining help from other community resources. Such efforts may include: counseling the older person to identify needs and possible barriers that prevent him/her from living a more fulfilling life; referrals to other agencies more appropriate to meeting the client's need; escort for the elderly person who lacks transportation or needs the reassurance that a worker might provide; advocating on the behalf of the individual, or follow-up to ensure that the older person has been appropriately linked with a service that meets his/her needs. Staff may also participate in interagency case conferences to facilitate effective coordination of services at the client level. These types of activities, conducted on an ad hoc basis, are considered informal case management.

The following section presents key elements of a formal case management system. These elements can be adapted for use by the community focal point conducting case management on a more ad hoc basis.

How to Conduct Formal Case Management

Formal case management is distinguished from the informal process by its more explicit goals, standardized process of working with older clients and designation of a single agency (usually) and specialized workers to perform case management on behalf of clients. It focuses on the entire array of services in the community rather than on the services available from a single agency. The goals of a formal case management process are to:

- o facilitate access to a complete range of needed care
- o facilitate choice of the most appropriate service alternatives for the client's unique conditions and concerns
- o ensure the integrated delivery of services to each client
- o ensure periodic review of the appropriateness of the service being provided

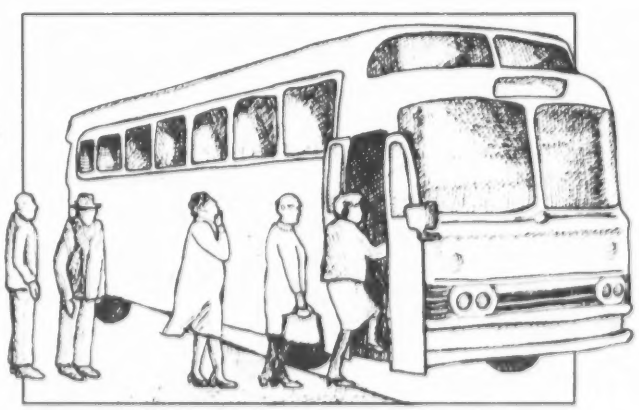
In order to achieve these goals, case management includes five essential activities conducted in sequence and pursued by an assigned worker known as a case manager:

- o an initial broad-based standardized assessment of the client's functioning

  ..conduncting an assessment via an office or home visit, depending on the client's functioning and type of services needed

  .. using a standardized form acceptable to other community agencies to avoid duplicative intake procedures. (See Appendix III-C1, C2 and C3: Case Management Forms.)

  .. client information should be comprehensive, and should



include a complete social and medical history

- o development of a written service plan, an agreement between the client and worker regarding the client's identified problems, goals to be achieved and services to be pursued
  - .. the worker must have sufficient knowledge of all available services so various providers may be appropriately included
  - .. to be effective, a service plan should be goal-oriented, rather than just a list of prescribed services
- o arrangement by the worker for planned services
  - .. services should be ordered for specific amounts and duration, with those activities to be performed for the client clearly specified
- o follow-up to confirm that service has begun
  - .. this assures that the service was in fact initiated, the amount of service has not changed or the service has been inappropriately terminated
- o periodic scheduled reassessment to reexamine the client's situation and to change the service plan and services, if necessary, consistent with current needs
  - .. requires that a broad based functional assessment be repeated periodically in order to reanalyze how the client's strengths and weaknesses interact
  - .. it may follow then that a new service plan with new goals should be developed

The designated case manager follows the client beyond the referral to assure that services are well-coordinated and are not duplicative. This, of course, requires interagency cooperation and consensus. It also requires that agencies in the service system feel assured that the case-management agency is familiar with their intake criteria, service limitations and programs so their services will be appropriately used.

A critical characteristic of a formal case-management system is that it provides for easy client access. One contact should be enough for the client to gain access to the entire system. A single assessment process can benefit the older client by reducing the need for duplicative intake procedures, and a single case plan encompasses the multiple services and supports that the person needs (see Appendix III-D: Cultivating Client Information Systems). The assessment and case plan should be shared with all relevant providers (with client permission) to enhance service coordination. Since case management is not a referral alone but a way to serve clients in a planned way over time, it is important for all agencies to know when a client's needs change or when an agency modifies its services (see Appendix III-E: SECQUOAS Demonstration Project).

How the Community Focal Point Can Link with a Case Management Agency

The success of a formal case-management program depends on the establishment of interagency linkages. Agreement and cooperation among agencies is necessary to enhance accessibility and service coordination at the client level. In instances where formal case management is conducted by an agency other than the community focal

point, the community focal point agency should establish links with that agency. The community focal point:

- o can assist in case finding through active outreach in the community
- o should refer to the case management agency those older people who may need multiple services, have vague, unidentified problems or need more support than the community focal point agency can provide
- o can offer its facility for outstationing a case manager to facilitate client accessibility
- o can initiate interagency meetings to improve communications between the two agencies; such meetings can increase the community focal point staff's understanding of the formal case-management process and client tracking procedures, as well as acquainting the case management staff with the services of the community focal point
- o can accept case management referrals to its program and activities.
- o can participate in interagency case conferences to review the needs of a specific individual and to establish a plan for the two agencies to work together in serving clients
- o should consider developing new programs identified by the case management agency as needed in the community
- o should consider joint training to enhance skills of community focal point staff in identifying case management clients and in working with older persons having multiple problems

Case management should not be viewed as a service for all older clients nor should it be expected to substitute for other relevant services needed by the elderly to support them in the community. The addition of case management as a component of the community focal point, however, can enhance the agency's ability to work with the multiproblem individual whose level of impairment impedes his/her successful negotiation of the service system. Case-management services can be conducted on an ad hoc basis by any agency or by a specific agency responsible for coordinating client case-management across the entire service system. This section has identified some of the key elements to guide the development of either an informal or a formal case-management system.

Section 4

ADVOCACY

Advocacy should be one of the major functions of a community focal point for aging services. The knowledge and insights about aging gained through daily association with older people make the community focal point an important source of information to the community.

What is Advocacy?

Advocacy comprises various activities in which one person or organization supports or defends the cause or well-being of another in order to effect change or reformation. The community focal point, as an advocate for older people, seeks understanding and acceptance of their needs and interests and support for its program. The community focal point, in filling its advocacy role, must:

- **Educate the community about aging.** To be effective, advocacy must minimally employ outreach, public information, community organization, administration, voluntarism, planning, research and interpersonal relations. An agressive public relations program can provide first-hand information to the community about:

  --what older people need

  --what older people do

  --what the community focal point is doing

- **Inform older people about available services.** A community focal point must be prepared to take the extra steps necessary to reach older people who are in need of services and to provide information that will enable them to make decisions and obtain the help they need.

- **Assist individuals to obtain needed services.** Sometimes information will not be enough -- older people may need help to:

  .. eliminate physical or language barriers

  .. overcome legal inequities

  .. deal with social and educational disadvantages

.. change inappropriate attitudes or beliefs about aging

- **Identify and fill service gaps.** Through maintaining ongoing free exchange and coordination and effective interagency communication, community focal points can be successful in identifying and filling service gaps and in reducing costly duplication of services.

- **Support a positive image of aging.** Public attitudes often reflect inaccurate and inappropriate stereotypes of older persons. Through its advocacy activities, a community focal point seeks to:

  .. dispel myths about aging

  .. influence decision-making bodies

  .. inform the community of the community focal point's goals and objectives

  .. generate enthusiasm and support

  .. attract volunteers

  .. encourage and assist older people to take active roles in community affairs

- **Help older people to learn how to advocate for themselves.** Teaching self-advocacy is an important task. Many older people feel they have lost control over their lives as a result of the aging process. In fact, they can still exert powerful influence over their lives and the lives of all older people, when they learn how to make themselves heard by those in a position to make and change policies and programs. (See Appendix III-F: Volunteer Advocate Levels.)

How to Advocate

The community focal point's board members, staff, participants and volunteers implement its advocacy activities in a number of ways:

- They can serve on community agencies' committees on aging, advisory and fact finding bodies, policy and decision-making groups and city, county and state planning bodies. In addition, they can work closely and cooperatively with their area agency on aging.

- They can do their "homework" by converting problems into issues that become visible.

- They can take action steps and use effective change strategies.

Working with area agencies on aging is of crucial importance. The area agency on aging(AAA), is itself the "focal point" for aging advocacy within the entire planning and service area. The community focal point for service delivery can help the AAA carry out

this responsibility on the local level.

Work with other concerned agencies and organizations to increase the available information base and to give aging advocacy more clout by uniting its supporters.

Do your "homework." Build a case. Describe problems in terms of issues. Analyze the impact of problems and your proposed solution. Take into consideration whether the problem demands a one-time solution or successive activities. Identify your supporters, your nonsupporters (those who are neutral) and your opponents. Carefully gauge the nature of the opposition. Identify those who are in a position of authority and can make the decisions necessary to implement your proposed solution(s). Pinpoint possible sources of influence on those persons or organizations in authority. (See Appendix III-G: Legislative Information Sheet and III-H: Protecting Your Tax Exemption.)

Action steps and change strategies include the following approaches:

- Come to a clear understanding of the decisions you want; and know who can make these decisions. Plan a strategy that is adequate to convince the authorities to make the appropriate decision. Avoid overskill .. it is a waste of time and talent. (See Appendix III-I: Advocacy Campaign Strategies.)

- Enlist your allies. Determine the needs of potential allies and trade-off your support for their needs in return for their support of your needs. Keep your supporters well-informed of your intentions and of your progress toward your goals. You may need them from time to time to write letters or to attend meetings, hearings, workshops or rallies.

- Develop a calendar of action steps. Activities with due dates, deadlines and assigned responsibilities should be clearly spelled out and monitored.

- Arrange for building awareness and publicity.

- Present your case. Having charted out the sequence of necessary steps on your action calendar, present your case professionally when the time comes. Be prepared to present and respond to questions cooley, factually and with confidence.

- Expect a response.

- Follow through. Note your success and failures. Thank those who have helped you. Publicize your successes.

Section 5

VOLUNTEERS

SERVICE ROLES

Senior centers and other programs for older people have long made extensive use of volunteers; in fact, the breadth of many aging programs can be attributed to volunteer help. Community focal points follow directly in this tradition.

Without minimizing other ways in which volunteers can enrich the programs of community focal points, volunteers can be of particular importance in reaching people who otherwise would not be served by community focal points. The mere existence of services somewhere in the community does not ensure that a person who needs help will know of those services or be able to obtain them. The preceding sections have described several types of activities that have been developed to make the connection between the person in need and available resources.

LEADERSHIP ROLES

Excellent ledership is vital to effective community focal point operations. Nonstaff leadership is provided by boards, councils and committees which are made up of volunteers. This section outlines the responsibilities and functions of such governing and advisory bodies. The organizational structure of the community focal point determines whether it will be guided by a board, council or committee. 13/

Board of Directors

The governing board of a focal point is responsible for the effective operation of the facility. It has the authority and responsibility to carry out important functions that will

- determine the purposes and functions which the focal point will perform
- establish the policies which will guide the day-to-day operation of the facility

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13/ This section was adopted from: Robb, Thomas M., and Smith, Susan M., Senior Center Administration: Participants Guide, Washington, D. C.: National Council on the Aging, Inc., 1978.

- o secure funds for the operation of the focal point and approve a budget that will control the use of those funds
- o provide a physical facility in which many of the activities and services which are its program will take place
- o employ an executive or administrator and give him or her the necessary authority to carry out operations according to the purposes and policies approved by the board
- o review the operations to be sure that the board's purposes and policies are carried out
- o interpret the community focal point and its purposes to the general public
- o participate in the community's planning processes and to be sure the community focal point functions as a part of the total community effort

Advisory Council

An advisory group differs from a board of directors in that it does not have the authority to determine policy or make direct decisions about the operation of the community focal point. An advisory council is responsible for advising the board of directors concerning the operation and program of the community focal point. This can include these important functions:

- o informing the board about current needs and concerns of older persons in the service area
- o evaluating the community focal point's program and operation and reporting findings to the board
- o recommending to the board changes in policies or practices based on needs assessment and evaluation
- o developing and maintaining linkages with other community agencies which plan or provide older person services
- o providing expertise to assist the staff in the operation and program of the community focal point
- o interpreting the needs of older persons and the purposes and program of the community focal point to the general public

An advisory council can be important to the effective operation of a community focal point when the "board" is far removed from direct oversight of the center (e.g., a city council or commission) and responsible for many agencies and programs.

Participant Council

An important principle in the operation of a community focal point is the inclusion of participants in the decision-making process. This is best achieved by including participants in the membership of boards, councils and committees. It also can be accomplished through a participant council composed of individuals who are representative of the community focal point constituency. A participant council can:

- o guide development of the program to meet the concerns participants are most knowledgeable of
- o make available to board and

staff the participants experience and knowledge

- provide opportunities for participants to continue to use leadership skills and to acquire new skills and knowledge

Committees

Governing boards, advisory councils and participant councils often carry out a great deal of their work through committees. These smaller groups usually focus on an area of responsibility smaller than the total scope of the larger group's work. They also draw upon knowledgeable and interested persons from outside the larger body, thus expanding its capabilities. Participants and other older people in the community are important resources for committees.

Committees important to the work of a governing board include:

- Executive Committee--usually the primary officers of the board, plus chairpersons of major committees. Sometimes the executive committee has its own chairperson; sometimes the board chairperson also chairs the committee. This committee maintains a close relationship to the center between meetings of the board and can make decisions when quick action is needed.

- Finance Committee--prepares the budget, develops policies to control financial practices and reviews financial reports of the community point operations.

- Program Committee--develops program goals, oversees program planning and implementation, evaluates program.

- Building Committee--oversees operation of the physical facilities, develops plans for maintenance and repair and, when needed, reviews plans for alteration or expansion and construction.

- Fund-raising Committee--provides guidance to the process of securing funding for the community focal point operation.

- Community Relations Committee--supervises relations with other agencies in the community and with the general public, including arrangements for collocation of services and public relations.

- Personnel Committee--guides the selection of the administrator, oversees his or her work and develops and reviews personnel policies and practices.

Advisory councils and participant councils also have committees to deal with some of these functions, depending on the breadth of their responsibilities.

Ordinarily, committees do not act directly on their own authority. The responsibilities of a particular committee are determined and spelled out by the "board" which created it. Usually committees deal in greater depth with a specific area of assigned responsibility, reporting their findings and recommendations to the larger board or council for action. Sometimes the "board" will delegate to the committee authority to implement its own recommendations, subject to the review of the parent board.

STAFF RESPONSIBILITY

Commitment is necessary from all levels of the community focal point staff to ensure the success of volunteer programs.

The following points should be considered by all persons involved in the development of volunteer programs.

- o The community focal point director works closely and supportively with governing and advisory groups composed of volunteers.

- o The director accepts and approves the selection of services and/or projects involving volunteers.

- o The director will provide the necessary leadership to insure the integration of the volunteers into the total programs of the community focal point.

- o If at all possible, the director should assign the responsibility for coordination of volunteers and volunteer projects to a staff person.

- o Consideration should be given to the qualifications needed by the staff person to coordinate the volunteer program:

  --knowledge of volunteerism

  --management skills

  --ability to work with people

  --Knowledge of community resources

- o Staff must be willing to accept volunteers as legitimate members of the team working together for a common goal. Staff participation in an orientation and training program on how to work with volunteers will help the success of volunteer programs. (See Appendix III-J: The Things I Wish They'd Told Me about Volunteers.)

- o Space to work, adequate materials and clerical assistance must be committed to the volunteers and volunteer programs.

- o There must be a commitment of finances to cover the cost, if any, of volunteer programs.

The commitment of the staff is essential to provide the status that is needed to enable the volunteers to take their legitimate place in the functioning of the community focal point.

A commitment of this kind must be developed and preserved through skillful coordination and open communication by all participants. 14/

14/ McDonald, N., Celebrate Life! Share Yours! Volunteer Services for Older Americans, AoA, HEW.

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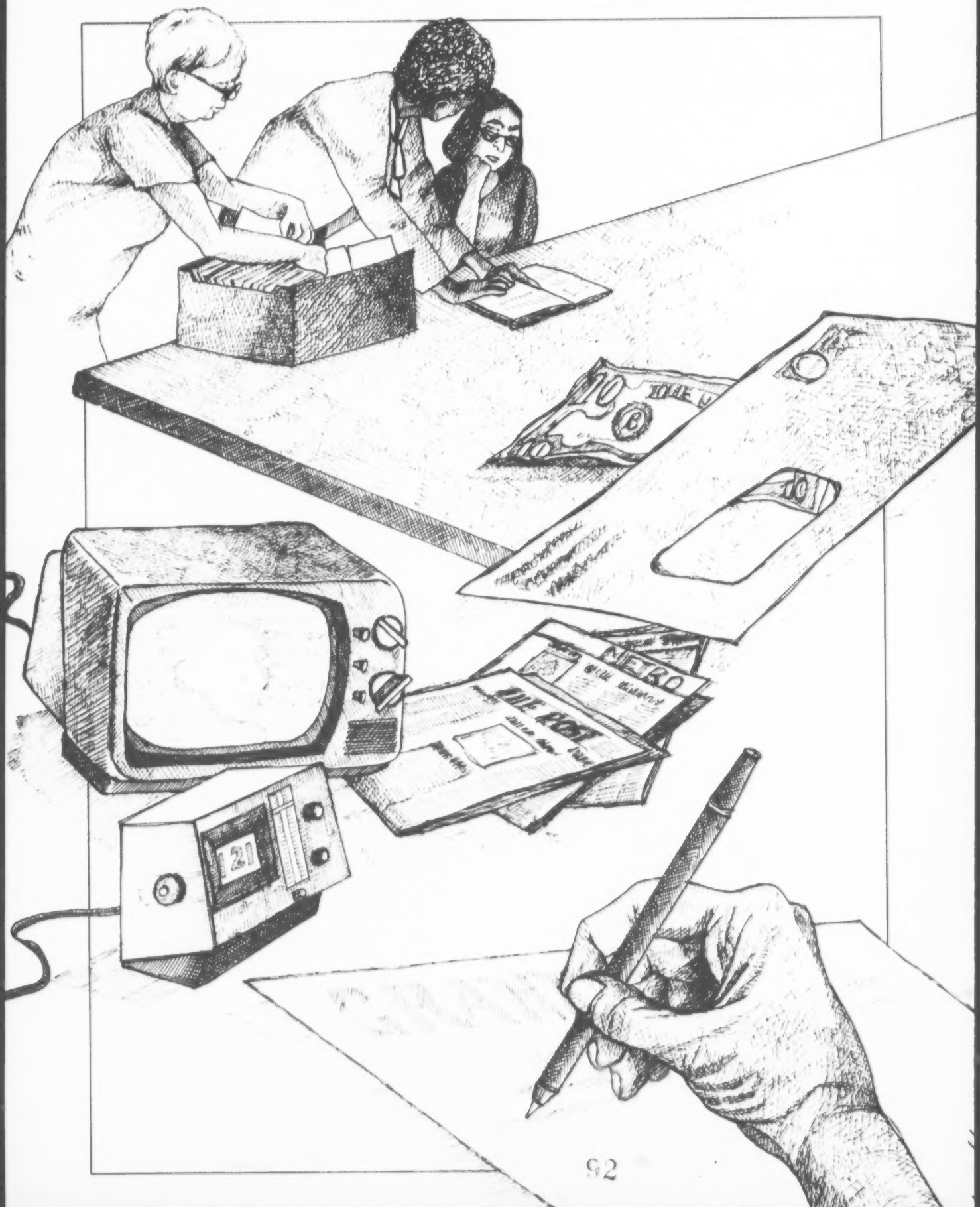
OPERATIONS

Section 1: Interagency Considerations
Section 2: Fund Raising
Section 3: Public Relations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UNIT IV

OPERATIONS

INTRODUCTION

A community focal point for service delivery has opportunities and challenges not faced by a typical agency. Everything a community focal point does must take into account its agency partners and high visibility in the community.

General characteristics of a community focal point for service delivery have been developed based on statements in the '78 Amendments to the Older Americans Act, the regulations and discussions with people in the aging network. The consensus is that a community focal point:

- o is based in a community or neighborhood and capable of providing the coordinated delivery of an array of services and activities, including collocated services
- o is visible and accessible to residents in the community
- o is usually oriented to group programs to foster peer interaction, support and the idea that it is for all older persons
- o is clearly identified with aging and older residents of the community and associated with a positive image of aging
- o is identified with the concept of older persons as a community resource
- o has the ability to reach all groups of elderly
- o is perceived as legitimate and competent
- o has demonstrated ability to generate community support
- o has a developmental rather than a custodial philosophy
- o offers or accesses a variety of services
- o is capable of setting operational procedures for multiple services
- o has flexibility to accommodate changing needs in the community
- o offers the opportunity for older people to be involved in the ongoing planning process of

community focal point operations

- o has strong, positive, responsible relationships with other agencies
- o has a strong public information component
- o is involved in the education of others about aging: service providers, natural supports, voluntary agencies, students, general public

This unit addresses some of the issues that arise from the very public nature of a community focal point for service delivery. Included are discussions about interagency procedures, funding and public relations.

Section 1

INTERAGENCY CONSIDERATIONS

A community focal point is interagency by design. Some of its strengths are drawn from those of other agencies. Its activities and services result from sharing and linking the services of others. Such a blending carries with it the potential for problems as well as for benefit. The challenge for the community focal point leadership is to maximize the benefits and to seek to reduce the problems that may arise.

There may be problems due to the interagency nature of the community focal point. There may be others that could exist in any agency but are complicated by the interagency situation. Among areas of concern which contain the potential both for success and for problems for a community focal point are:

- o staff-related issues (recruiting, training, supervision)
- o allocating and managing space
- o obtaining and managing funds
- o interagency planning, policy, and agreements

This section of the manual looks at each of these four issue areas, notes the kinds of problems that may arise within each and suggests some methods for dealing with them. It then looks at some skills which can be of value to a community focal point organization in developing and maintaining productive interagency relationships. Included are skills for developing effective groups and leadership.

STAFF ISSUES

There are several ways in which a community focal point may involve staff from other agencies. These may include joint efforts to plan and coordinate activities, communication about services for individual clients, outstationing of staff to a community focal point site and team provision of services. Some community focal points will have their own core staff (either obtained from other agencies or directly hired). Other community focal points may work solely by coordination between several agencies. Recruitment, training and supervision are staff issues with interagency implications that require consideration under any of these staffing arrangements.

Recruitment. Recruiting staff for a

community focal point program may occur in any of several ways. The organization may determine its needs and directly recruit its staff, or other agencies may assign staff to work with the community focal point. The community focal point may have an opportunity to request from other agencies types of staff or individuals. Agencies may ask for staff volunteers, or staffing may be left to chance--whoever happens to be available when a need arises. However the staff are recruited, efforts to assure continuity and understanding of the program's goals will lead to a better staff complement.

Early in the community focal point's development process, program planners should define staff qualifications that are important and unique. In addition to competence in a particular job skill, these might include: A commitment to foster services across traditional agency boundaries; a high degree of concern for delivery of service to the client and for client outcome, and ability to identify with the whole of the project and not just one's own agency or specialty, and an understanding of the contributions and interrelationships of other disciplines.

Not only qualifications but also procedures for obtaining staff should be defined. To the extent that some staff will come from participant agencies, jointly developed procedures will be particularly important. Such procedures should clarify roles and responsibilities for identifying potential staff members, for reviewing their qualifications and for making selections. Such procedures should include the extent of the community focal point leadership's right to accept or reject staff nominations. They should also provide for a trial period to allow the community focal point, the staff member and the contributing agency to assess the appropriateness of a staff assignment.

In the case of staff detailed to the community focal point, provision should be made for the contributing agency to be able to regain its staff member, but in a manner that will not jeopardize the functioning of the community focal point. A contract or agreement between the community focal point and any agency providing staff should specify how and under what circumstances an agency may reclaim staff.

If recruiting efforts (such activities as advertising, screening, interviewing) are to be jointly conducted, decisions must be made regarding certain roles and responsibilities. These include specifying responsibility for expenses, determining which agency has first choice of a desirable candidate and specifying who will be responsible for conducting interviews.

Training. Every community focal point has a responsibility to keep its staff and board/committee members fully informed and to provide opportunities for them to acquire and improve skills. (Here "staff" includes all paid and volunteer, professional and paraprofessional, clerical and other support staff.)

This is particularly important for a program operating beyond the secure boundaries of a single sponsoring agency or a familiar chain of command. The community focal point organization, more than others, needs to concern itself with training needs both for its own staff and also for staff members of agencies with which it cooperates. Thus, the community focal point needs to provide, for its own staff and those with whom it works, training and information relating to its goals and internal operating procedures as well as those of other agencies.

Staff members need to understand the purpose of the community focal point approach, their role in it, the relative roles of other agencies and specific operating procedures. They

need to be familiar with client groups and their needs and with available community resources. They also will require the opportunity to improve their skills for working in an interagency situation.

A well-designed orientation program should be a basic requirement. But not just a one-hour or even one-day orientation session can assure that staff is able to perform to its highest level. Regular training opportunities should be provided--by the community focal point separately or in conjunction with other agencies.

Joint training can provide several rewards. Pooling the efforts of several agencies can make good use of limited time and training resources. Other benefits from joint training may include:

- o facilitating the use of common procedures such as referral or intake mechanisms
- o developing an understanding of other organizations' goals, participants, services or administrative environments
- o developing an informal network among service provider staff members
- o making use of the range of expertise within agencies

The potential for joint training to foster interagency coordination deserves emphasis. Only rarely is the stated purpose of training to foster coordination; rather, the explicit purposes are usually to develop skills, to change attitudes, to develop ideas or to impart information. However, participant comments on evaluation forms that accompany many training courses frequently mention "meeting other people with similar concerns and problems" as a major benefit. The community focal point's success is largely dependent on interagency linkages and cooperation. Consequently, in addition to its traditional benefits, a joint training activity may be one of the least threatening and most rewarding coordinative activities such an agency could launch.

In addition to initial orientation and formal training sessions, regular and frequent information sharing is important. This can be achieved by methods as simple as bulletin boards, newsletters and staff meetings. In order for any of these mechanisms to work, however, they must be done well. This means bulletin boards, for example, must be planned, organized and maintained to assure the provision of timely information. Their maintenance should be an assigned responsibility.

Staff meetings should be scheduled regularly and frequently. They need not be lengthy, but they should provide information and offer opportunity and encouragement to each staff member to ask questions, make suggestions and express concerns. Some managers view staff meetings as wasted time. But, in the absence of such meetings, staff will usually consult with one another with no assurance that information is conveyed either uniformly or correctly. Most likely, even more time is "wasted" by such ad hoc efforts to learn what is going on.

One of the chief purposes of a community focal point is improved coordination among services and service agencies. Thus, the more opportunities staff have to come to know one another, the more likely it is that mutual trust, confidence, respect and smoother teamwork will be possible. The manager of a community focal point can create such opportunities--staff conferences, small group buzz sessions, coffee breaks, lunch groups and even social events --to foster a sense of teamwork and provide trust-building opportunities.

Training in and of itself is not

a solution to all problems. Like any other endeavor for the community focal point, successful training must be carefully planned and carried out. Some efforts you can make to assure more successful training are:

- o Designate a sub-group (a committee or task force, for example) which is responsible for planning and overseeing training (not necessarily for conducting it).

- o Conduct a survey of participant agencies and focal point staff members regarding areas in which they could use greater skills or knowledge.(See Appendix IV-A: Questions You Might Ask Your People.)

- o Identify locally available training expertise. Many Federal, state and local public and private organizations have training capabilities that could be tapped for a cooperative training project.

- o Involve the local education and training community. Community colleges and universities, chapters of the American Society of Training and Development and college extension divisions are examples of local resources.

- o Survey existing staff expertise in cooperating agencies that may be utilized for training.

The above approaches can reduce training costs, increase the coordinative benefits of training efforts and provide better quality training experiences for the community focal point's staff and those staff of agencies associated with it.

Supervision. The need for supervision will vary with type of staff and staffing arrangements (shared, joint, detailed, etc.). But for any approach, issues of authority and supervision should be clarified as the community focal point program and organization are planned. There is no one right way of supervision; what is important is for the agencies involved to jointly work through the pros and cons of various approaches to supervision and how to make the selected option work most effectively.

To the extent that there are some collocated or outstationed staff, there will be a need for on-site supervision. It is important for staff to know, "Who's in charge here?" Agencies will need to agree on how to make this determination and ensure that it is communicated clearly to the staff members involved. Individual staff members, administrators and supervisors should have a clear statement, preferably in writing, of the responsibilities and expectations for each staff member, of procedures to be followed in the performance of their duties and of the basis (and by whom) on which individuals are to be supervised and evaluated. Participant organizations need assurances that there are appropriate and evenly applied standards and procedures for staff performance. At the same time, the community focal point organization needs assurances that its supervision of other agencies' staff will not be undermined.

Such assurances can be provided in at least two ways. One is to include broad understandings about supervisory responsibilities, lines of authority, grievances and the like in interagency memoranda of agreement. For example, such an agreement might state that for the duration of time a staff member is detailed to the community focal point, the community focal point supervisor is responsible for providing to the staff member's agency a regular report of performance, which will be accepted by that agency as the official staff evaluation for

the period. It may also state that the employee must review the report and indicate his/her concurrence or disagreement prior to its being forwarded and may include a procedure for settling grievances.

Other staff-related matters that should be jointly agreed on, either in a general memorandum of agreement or in a separate staff-related annex, are: Salary scales, responsibility for insurance premiums and other fringe benefits for detailed staff. Similarly, agreement should be reached on hours of work, vacation time, overtime compensation and the like which are apt to vary among the organizations involved in the community focal point program. To the extent that staff are detailed or even just collocated, the clarification of these matters can avoid morale problems.

Another useful step will be to clearly specify tasks and assignments in a community focal point work plan. Such a plan should be prepared for individual staff members as well as for a team or program unit. The plan should provide both staff and supervisors with details in response to points such as:

- o What activity is to be performed?
- o What is to be accomplished?
- o What methods are to be used?
- o Who is responsible for providing guidance or instruction?
- o What freedom of choice or limits are placed on staff members' conduct of tasks?
- o What is the time for performance of the task? 1/

1/Adapted from Armand Lauffer and Sarah Gorodozby, Volunteers, Sage Publications (Beverly Hills, Calif.), 1977, pp. 20-23.

ALLOCATION AND MANAGEMENT OF SPACE

An agency functioning as a community focal point must explore new approaches to the use of space, since several agencies--or at least staff from several agencies--may be housed under a single roof. Opportunity to collocate may be one of the tangible ways for a community focal point to accomplish coordination of service delivery. At the same time, it may pose certain difficulties. There may not be enough space or it may have been designed for different purposes and be difficult to adapt to the focal point's needs. There may be insufficient privacy for small conferences, interviews or similar activities. There may be a lack of large areas for group activities. Noise from simultaneous activities or equipment may be a distraction.

As for so many other portions of establishing and operating a successful community focal point, thought and careful planning are necessary to make the best use of space and to resolve, or prevent, space problems. As early as possible in the program planning phase, begin to determine what the space needs are for the various agencies and functions to be housed in the community focal point facility. Consider the following questions as a basis to making space decisions:

- o What types of functions will occur in the community focal point location? Staff offices only? Information and referral? Use by clients? Space for private conferences, small classes or large group activities? Individual services only or group activities as well?

- o How many different agencies and how many staff will need to use the space? on a regular basis? periodically? Will they differ in type of functions, degree of client participation and so on?

- o What special equipment and storage needs will exist? For example, if there are to be meal functions, are kitchen facilities required? Cold storage? Bulk storage for meal-related items? What about equipment and supplies to support administrative, clerical and client activities? Duplicating equipment?

Once you have some preliminary understanding of the space requirements of the various agencies involved, you can move on to more specific matters, such as what space is available and how it can be apportioned, altered, scheduled and financed in order to obtain maximum benefit from the shared programs. Here again, involvement of the agencies that are to be a part of the community focal point program will help assure that the soundest space planning occurs. Such involvement will also help to maintain the sense of commitment and unity needed among these agencies.

When interagency agreements among participants are finalized, they should address space issues. Such agreements need to include clear definition of: Space allocated for use, any limitations, stipulations regarding the use of common space, modifications to be made to existing space, provisions for negotiating or making iterim adjustments, responsibility for maintenance and care of facilities and equipment and financial obligations relative to the use of space and equipment. During negotiations with agencies for their participation in the community focal point, their space and equipment needs should be formally clarified. (See Appendix IV-B: Working Agreement on Space.)

Such discussion of the community focal point facility thus far has

looked at requirements only from the point of view of the agencies that will be sharing it. The client's perspective must also be considered.

If clients will be coming to the community focal point facility, attention must be given to assuring that it is barrier-free and accessible. Consideration should be given to the facility's location with regard to accessibility to public transportation or special transportation for the elderly. Elimination of such barriers as steps and installation of handrails on ramps, hallways and paths are important physical access concerns.

Additionally, the facility should be visible and immediately recognizable to potential clients. The surroundings should be made as pleasant as possible within budget constraints. The building must be safe and hazard-free, sufficiently warm (or cool) to meet client comfort needs and as attractive as possible. Privacy for personal conferences, health screening and similar activities must also be assured.

These and other considerations regarding the physical facility may be made more complex by the interagency nature of the community focal point and the need to satisfy multiple organizations and their clients. However, they can be used as a rallying point to gain participation by the larger community. One reason is the involvement in the community focal point of many community organizations, their staff and volunteers. Another is that assistance with physical needs--remodeling, equipment purchases, construction--offer opportunities for business and civic groups to provide tangible assistance. They are often quite willing to do so.

OBTAINING AND MANAGING FUNDS

One of the most intricate and potentially complex facets of community focal point management may be the area of funding. In designing the administrative and governing structure of the community focal point organization, clear stipulation needs to be made of responsibility and authority for funds management and accountability to funding agencies and to directors/advisors. Such designations are best written into the agreements or contracts executed by participating agencies.

The community focal point manager needs sufficient authority and freedom in funds allocation to operate the program without undue restrictions and impediments (such as having to clear all expenditures with another governing body). At the same time, this freedom must be balanced with sufficient safeguards to assure accountability to the various funding and other constituent groups. The prior experience of participant agencies can be of particular value in developing funds management procedures.

A major challenge for community focal points will be in developing their financial resources. Some approaches to fund raising with other community organizations are outlined in Section 2 of this unit.

Any of the several approaches noted in Section 2 (including community campaigns, grants, contracts, etc.) might be pursued by the community focal point in concert with one or more other agencies. Frequently, a joint application for funds, demonstrating broad-based community concern and involvement, has a greater chance of being awarded than does one submitted by a single agency. A joint approach may range from simply informing a number of agencies of your intention to seek funds and receiving their written endorsement of their active involvement in preparation of the request and conduct of the funded project.

The community focal point may be involved not only in joint fund raising; it also may be the recipient

of funding programs of multiple agencies. Before a community focal point sets up its arrangments and plans activities that would involve either approach, several issues need to be explored. These include:

- Will there be a transfer of funds through a grant or contract?
- If funds are transferred, which agency should have fiscal responsibility for their management? What roles will other involved agencies play?
- Are matching funds required (either Federal or non-Federal)? If so, how will the matching funds be put together?
- What requirements or prohibitions exist in relevant state or Federal laws regarding joint funding?

Where Federal funds and federally funded programs are involved, certain stipulations which can either ease or make more difficult joint funding need to be considered. Many programs are permitted fairly wide latitude to commingle funds under a Federal law designed to provide communities an opportunity to do so. 2/ The Older Americans Act(OAA), however, is exempted from this provision to the extent that its funds can be integrated with those of other agencies only if the OAA agency is the lead agency and, in general, the OAA rules for funds are followed. If your community focal point involves an area agency on aging or OAA funds, these stipulations will be pertinent. The area agency administrative staff, as well as specialists from the state office on aging, can provide technical assistance.

The local area agency on aging or state unit on aging can also help by providing information on programs across the country which have developed programs involving multiple funding sources and linking multiple agencies.

INTERAGENCY PLANNING, POLICY AND AGREEMENTS

In the unit on planning for community focal points, the importance of involving representatives from many agencies is noted. This point is again stressed here. Not only in the initial planning effort, but also on a continuing basis, interagency planning and policy-making are important.

It is presumed that there will be a designated body charged with the responsibility for making policy for the community focal point. It is important that this body include representatives from the participating agencies and/or an opportunity to incorporate their concerns and suggestions. In addition to representation on such a body, the agencies involved in the community focal point effort should have a clear definition of the roles of each agency in planning and policy setting.

Such definitions should be part of the community focal point's basic organizational documents (most likely articles of incorporation and bylaws). Specification of roles along with statements of mutual agreement on all facets of agencies' involvement with the community focal point should be contained in formal agreements between the community focal point and each participating agency. A memorandum of understanding or letter of agreement need not be an elaborate document. It does not need to state

2/ The Joint Funding Simplification Act of 1974, Public Law 93-510.

what each agency expects from the other, what are the responsibilities of each and how resources (funds, equipment, space, transportation, etc.) will be used. As has been noted in the preceding pages, various issues, such as matters pertaining to staffing, use of the community focal point facility, etc., offer appropriate subjects for inclusion in such contracts or letters of agreement. Such agreements should set out the mechanisms for dealing with problems between agencies. They should also provide for periodic (for example, annual) review of the agreements.

Interagency Skills

A community focal point effort will have many activities (in planning, policy setting and service delivery) that occur in groups. The success of these endeavors will, in part, depend on the functioning of the groups. This can be aided by skills which promote more effective group functioning and sound leadership.

Group Skills. Effective groups do not materialize just because a number of individuals--even like-minded individuals--happens to be in the same place at the same time. Developing such a group requires effort and attention.

There are several tasks that individual group members can perform to help groups related to a community focal point carry out their activities and achieve more effective partnerships. Such tasks include:

- o Initiating an activity. Someone has to get things started. Examples of tasks that begin to move a group forward are convening a meeting, assuring that all who should be are notified, setting an agenda, etc.

- o Providing information. It is vital that a group have the information necessary to reach appropriate decisions. Group members should recognize need and accept responsibility for obtaining data and identifying persons with relevant knowledge.

- o Encouraging and promoting the participation of all members of the group. It may be easier to rely on the participation of those with whom one agrees or those who can offer support. But, to improve the group's ability to achieve agreeable, workable solutions and to continue to function, it is important to develop procedures to assure that all will be heard. (See Appendix IV-C: Techniques for Generating Consensus.)

- o Performing "gatekeeping" functions. Providing openings for those who may be less willing to speak up and preventing domination by a few is a function that is often necessary to assure participation.

- o Refocusing the group. By asking a question or making a statement a member can help clarify an important point or refocus the group on its agenda.

- o Summarizing and restating. To be sure that correct interpretations and common understanding have occurred, it may be necessary to stop to summarize. It can be very helpful for a leaders or group member to restate what has been said, the major points made or questions posed and the decisions reached. In asking a question or making a statement, a member can help clarify an important point or refocus the group on its agenda.

- o Diagnosing group problems. A difficult but important role within a group is to be able and willing to identify sources of group problems. A difficulty or misunderstanding may impede progress of the group. Identifying such a problem allows the group to deal with it before it blocks its ability to continue working. For example, one member may perceive that others have misunderstood the meaning of a statement. He/she might say something like, "Let me be sure I'm not misunderstanding. Did you mean _____ or _____?" In this way, the member has performed a task that helps the group clarify and start again on common ground. (See Appendix IV-D: Discussion Traps.)

One person can hardly be responsible for performing all these important tasks during the course of a group's discussion or meeting. It should be a basic part of the group's formation for members to be made aware of the need for, and to accept responsibility for, helping the group function. By paying attention not just to the obvious group activities and discussion but also to the reactions of members, individuals can see and accept opportunities to carry out these tasks.

Leadership Skills. Also important for the development and conduct of a community focal point's efforts is the presence of individuals capable of exercising leadership. A leader need not be the best speaker in the group or the best informed on a particular subject. It is more important, in an interagency situation, for persons in leadership roles to have a broad view of the interests and concerns of others and of potential conflicts. It is important that they have the skills discussed in the preceding section.

The ability to listen, really listen, to what others say is a most important skill for community focal point leaders to practice. They will be in positions of having to coordinate, plan and work in concert with many different disciplines and individuals. An approach which says, "I'm not the one who knows everything--your views are important and necessary," can accomplish a great deal toward helping the community focal point survive and function.

The community focal point leadership is responsible for providing information to and to communicate with other agencies' staff and administrators, with community leaders and with clients. The willingness to think about and plan communication is required. Whether it is a verbal address to a group, a telephone call, a memorandum or a newsletter article, communication will be helped by first identifying the important points. This is the "who, what, when and where" we often have been instructed to highlight. These points should be clearly set forth and then rechecked, if possible, to see if the message was received and understood. Developing effective groups and improving leadership and communication skills are important subjects for a community focal point's training and information activities.

Summary

Several issue areas are important to the interagency nature of the community focal points. Though these areas offer great potential benefit to the program, they may also pose problems. Among the issues are: Staff issues of recruiting, training and supervision; the allocation and management of space; obtaining and managing funds; interagency planning and agreements, and the development of skills to promote group decision-making and effective leadership.

In general, certain fundamental strategies will be helpful in managing interagency issues. These include creating mechanisms for maintaining interagency communication, assuring joint participation in decision-making and specifying as clearly as is possible the roles and expectations of participant organizations. The suggested strategies involve many of the same principles and approaches that are valuable to the community focal point in its other activities (notably in planning and accountability).

Planning itself can be a helpful approach to interagency issues. The more that such concerns as staffing, space allocation, etc., are thought through and planned in advance, the more likely it is that a satisfactory resolution can be achieved. Involving members of the community and of participant agencies in the planning and decision-making processes will be a major aid to achieving a sound interagency structure.

Training for community focal point leaders, staff and volunteers in leadership and group skills can be one of the most useful activities for such an organization. The creation of mechanisms and patterns for maintaining communication is of vital importance in fostering interagency relationships that promote the goals of a community focal point.

Clearly stating roles, responsibilities, and privileges for the participant agencies is also important. Following their development, procedures regarding staff supervision, space sharing, joint funding and other issues should be specified in written contracts or agreements.

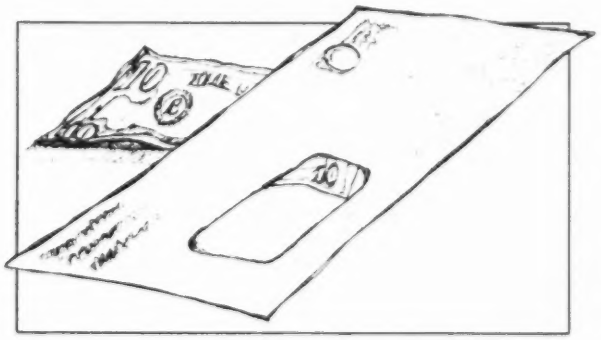
Attention to such interagency concerns, coupled with development of skills for working with diverse groups of agencies and individuals and development of mechanisms to assure communication and understanding, should place the community focal point in the best position to capitalize upon the blending of talent, skills and resources across agencies.

Section 2

FUND RAISING

Under ordinary circumstances, raising money to operate an organization requires careful planning and concentrated effort. For a community focal point, this basic process is overlaid with the complexity--and the special opportunities--of working with other agencies. This section offers an overview of fund raising, including discussion of the expanded approach a community focal point must take to involve its agency partners and to present its case effectively to prospective supporters.

Where does the money to run your focal point come from? Dues, fees, grants, contracts, sales, government funds? If your agency is a private, nonprofit one, you may even have been given contributions by individuals who believe in your cause.



If...

-- your unrestricted income is not sufficient to meet your budget

-- you need matching funds for a grant, contract or private donation

-- you need a reserve against future needs

-- you need seed money to launch a broader fund raising campaign

-- you need funds for a special project

...a fund-raising campaign may be your answer.

A campaign is an organized method of soliciting money from a selected group of people, for which the donor receives little or nothing tangible in return.

There are many types of fund-raising campaigns. You will find a collection of books on every aspect of fund raising that you can imagine. At the end of this unit is a list of

references that can help you decide on the best method for your situation.

You may consider raising money from individuals in face-to-face solicitation, by direct mail or through memorial gifts or deferred giving (through estate planning).

You may arrange for special events such as carnivals, dinners, benefit shows, auctions and raffles .

You may also seek contributions from corporations and businesses in your community and through federated fund-raising campaigns such as the United Way.

A successful fund-raising campaign needs:

- o a sound and inspiring case
- o a realistic reservoir of donors
- o volunteers willing to work for the cause

For a community focal point, these fundamentals should be supplemented with a united approach by the cooperating agencies.

A case statement is drawn from your program and the needs you are attempting to fill. People give to a program, a cause, a project--not necessarily an organization.

A case statement describes the cause, the reason you are in business why the donor should support you. It should answer these questions for the donor:

What is the purpose of the community focal point?

What is its role in the community?

How does the community participate?

What are the current financial needs of the community focal point?

A case statement serves an internal purpose as well. In writing it, you must clarify just what your goals and objectives are. Because a community focal point represents the cooperative efforts of a number of agencies and groups--not just the operating or sponsoring organization--it is important to involve these participants in developing the case statement, which represents their shared goals, objectives, and needs.

PLANNING A FUND-RAISING CAMPAIGN

Let us suppose that you want to launch a campaign for general support contributions from your community and its surrounding area. You have identified your target group; what else do you need to include in your plans?

How much do you want to raise? This figure depends on a variety of factors. How much do you need to meet your budget? What are the community's resources? Should you stretch to reach a very ambitious goal? This can sometimes bring out the very best in people; at other times it can scare them.

If you are unsure of the support in your community, a low goal may be the best idea. You will not be as likely to fall short, and, if you go beyond it, everyone will feel heroic. However, your pacesetters will scale down their contributions, and you may raise less money than with a high goal.

If this is the first time you have attempted a fund-raising campaign, you may feel you need the safety of no goal at all. But, if you have decided how much you need, you have really set a goal. Also, having a goal lets you know when you have achieved your purpose. It lets a donor know whether a gift is small, large or in-between.

How long do you want the campaign to take? Generally speaking, the shorter the campaign the better. It

is easier to sustain enthusiasm for a short period.

When do you want to start? This depends on the nature of the campaign and other community factors. If you belong to the United Way, you will need to take its funding cycle into account. Even if you are not a member agency, it would not be a good idea to conflict with the United Way campaign. Both efforts would suffer.

How much money should you spend on the campaign? For nonprofit agencies, there are limits to the amount you can spend to raise money. You are, no doubt, well aware of these regulations. Since volunteers do much of the work, fund raising costs in any case should not be high.

However, do not begin a campaign without enough money to pay for it in advance. If you try to pay as you go, you will be constantly worrying about whether you will have the money to pay for the postage and so on by the time you need it.

Do you want this to be an annual event, or is it a one-time campaign? For an ongoing program that is for asking for general support funds in the campaign, there is no reason why it cannot be an annual event. Building funds are usually one-time campaigns spread over several years.

By keeping careful records, you can develop a substantial and valuable contributor file, which should not only provide the core for next year's campaign but may yield prospects for deferred gifts and bequests when you are ready to venture into the field.

The Chairman

A volunteer chair for your campaign is a vital link to volunteers who will work in soliciting funds and in reaching contributors.

Unless you are also a volunteer worker in your organization, it could appear somewhat inappropriate for you to ask for money from the community to pay your salary. It can be done, however, especially if the organization has been providing vital services to the community for some time. However, it is much easier if the campaign is headed by a volunteer chair.

He/she should have enough money to make a leadership contribution to the campaign as well as enough influence to inspire the community to follow him/her. Give the matter of his/her selection your best thought.

Your chair should be connected to your group or at least be sympathetic to your cause. He/she should be well liked, well organized, a good speaker, fearless in asking others for money.

Let your chair select his/her own second in command. Enlist the support of other community leaders. Divide the committee into sections, each with a group of volunteers under them. Clearly define the responsibilities of each group.

Enlisting Volunteers

The only way to get money from people is to ask for it. If you are going to ask a lot of people, you need a lot of volunteers to help you ask. Recruiting volunteers should be done in person wherever possible. Divide your committee into groups and set individual goals for each group. Let the committee recruit volunteers. You will reach far more people this way than if you use a list developed by you and your staff alone.

Call a prospective volunteer and ask him/her to "contact a few influential people" on behalf of your campaign. Don't ask someone to "join a campaign committee."

Educate and support your volunteer team as much as possible. Make sure they all understand the community focal point and its programs and why they are asking people to give money to it. Challenge your solicitors and give them public recognition when they do a good job. Arrange for postcampaign awards. Make sure all

solicitors receive some kind of recognition.

Fund-raising Counseling

Sometimes agency staff feel the need for professional guidance in fund-raising matters. A professional fund raiser can be of help if he/she is used in the right way and at the right time. Remember that a professional fund-raiser does not know your organization and your constituency the way you do. If he/she is not headquartered in your town, he/she does not know your community.

The best way to make use of a professional fund raiser is usually to use the services of a consultant who is well known as though he/she were a teacher. He/she can help you make your plans and give you professional technical advice on how best to do what you and your planners have already decided to do.

Financial Reporting

Financial reporting is often crucial to approval by licensing agencies and funding sources. You must be very precise in keeping records of your fund-raising expenses. Include your finance officer or accountant in your planning from the beginning. Informing him/her of plans and coordinating record keeping with him/her can avoid a multitude of problems later.

Some communities require solicitors to be able to tell the donor how much of his/her contribution will go for the cause and how much will go for administrative and fund-raising costs at the point of solicitation. If fund raising is a new venture for you, be sure to learn all regulations and licensing procedures required by your community and state before you send volunteers to do their job.

Federated Fund Raising

This is all very nice, you say, but we are a United Way agency and as such are not allowed to conduct individual campaigns.

When a substantial amount of funding comes from a United campaign, you will, of course, want to follow the spirit of the rules as well as the letter.

You may find, however, that you can still run certain fund-raising events. And, you can always ask your own members and previous contributors for contributions. Check with your United Way. You may find you can do more than you thought.

A Last Word

This has been a brief summary of fund-raising methods. As mentioned earlier, there are many books full of advice on all aspects of fund raising. Order them, get the public library to order them, buy them yourself, read them. You will soon be an expert in fundraising.

DEVELOPING A GRANTS AND CONTRACTS PROGRAM

Has anyone in your organization said, "Let's get a grant for this project"?

Grants sometimes seem to be the ideal answer for money to do something you otherwise could not do. However, you must have a good reason for applying for a grant -- not only because the granting organization must have a good reason to give it to you, but because grants can sometimes be a burden. Regardless of how careful you are in working out the budget for your project, the amount you receive will rarely cover all costs. Some reasons for applying for a grant are to:

- o solve a specific problem
- o meet a specific objective

- o take advantage of a unique opportunity
- o hold or reduce client costs
- o provide new and needed service to the community
- o provide needed facilities or equipment

Grants can bring indirect benefits. Your board and staff will develop a deepened loyalty to the organization while working on the proposal; your organization will receive attention and publicity through the announcement of the grant; your credibility in the community and among sister organizations enhanced.

Begin developing your grant program now, before you need it for a specific proposal.

The Coordinator

The first thing to do is assign someone the responsibility of coordinating grant applications. This person can be the community focal point administrator, another staff person, or, if the organization is large enough, you might consider appointing a development director who would take charge of all fund-raising activities.

The grant coordinator's job is to assist the other members of the staff in developing ideas into projects, compiling information which may help staff-created projects, coodinating proposal development and submission and researching prospective funding sources for proposals.

Let's assume you are the grants coordinator. You must be creative, able to organize, a good writer, persuasive, persistent and tactful. You must have a thorough understanding of the organization and be able to juggle a great many details at one time. Your job is somewhat more complex because a community focal point has many partners who may be involved in developing a proposal.

Establish an internal procedure. The administrative procedures are crucial to expediting the process and creating a support for project innovators.

A simple procedure would be for the project innovator to submit his proposal idea (on a form developed for this purpose) to his/her supervisor with a copy to the grants coordinator. The grants coordinator can study the matter and briefly research possibilities for the support of such a project. Can support be found for this project? Is the estimated cost realistic? The idea can then be submitted to the community focal point advisory council or to a task force of interested agencies or groups involved with the community focal point.

When the idea receives initial approval, the project innovator and the grant coordinator work together in developing the project proposal. Representatives from other agencies may participate in this process. Researching prospective funding sources is the responsibility of the grants coordinator.

Attitudes are even more vital to the success or failure of a grant-development program. The top executives in your organization can encourage and motivate staff people to introduce new ideas by being open to new and creative ideas.

The Grant Resource Library

You will need a grant resource library for your program. This can be as extensive as you have the time and money to make it, but it should include the following items:

- o basic reference books on foundations, corporations and government agencies
- o journals and newsletters

- o congressional directory
- o annual reports of granting institutions
- o copies or notes on IRS 990-AR forms
- o files with clippings, articles and notes pertaining to prospective granting agencies
- o background information on your organization, what it has done and is doing; facts and statistics for background or to document a need.
- o file of funded and unfunded proposals
- o sample applications

Internal Communications

As grant coordinator, you must keep in close touch with all participating agencies. You need to be aware of all developments in current programs.

Circulate materials which may be of assistance to staff in developing their ideas or that may stimulate creative thinking. An internal newsletter that includes notes on the status of proposals and projects and that gives recognition to project innovators can be useful.

Developing a successful grants program is a constant job. You must always be alert to innovative ideas, possible sources of grants and creative people. Keep careful records and build solid background files on all possible sources.

TYPES OF GRANTING ORGANIZATIONS

There are two basic categories of granting organizations: Government and private. Government granting agencies exist at the local, state and Federal levels.

There is a variety of organizations to which you may apply for funds in the private sector. These include:

- o foundations and trusts
- o corporation support programs
- o corporation-sponsored foundations
- o other groups, such as voluntary organizations (usually in the health field), churches, civic clubs, fraternal organizations, etc.

Government Agencies

The political climate in the 80s promises to be markedly different from that of the 70s. In the 70s, high priority was placed on developing innovative programs benefiting aged and disadvantaged people.

In the 80s, funding will be much more limited. Also, much less money will be given at the Federal level through categorical and discretionary grants than through block grants to the states. In light of these developments , collaborating with other agencies, will be an advantageous strategy.

Applying for funds from government agencies is complex, requiring....

- -- knowledge of political factors governing Federal agency operation
- -- strategies to negotiate these political systems
- -- contacts with potential funding agencies
- -- skill in writing proposals

How can you tell what a funding agency is really looking for? Does your project address the appropriate

guidelines? There are a number of things you can do to discover the answers to these questions before writing and submitting a proposal.

Sources of information are...

-- the Administration on Aging, state and area agencies on aging

-- state and regional office staff of the agency you expect to approach

-- your state's congressional delegation

Many senators and representatives have a staff person who is knowledgeable about grants. This person can be a great source of support and information.

Unless you live in or near Washington, D.C., it will probably be difficult to develop personal relationships with the staff of AoA or other Federal agencies. However, you can probably arrange to meet state or regional people.

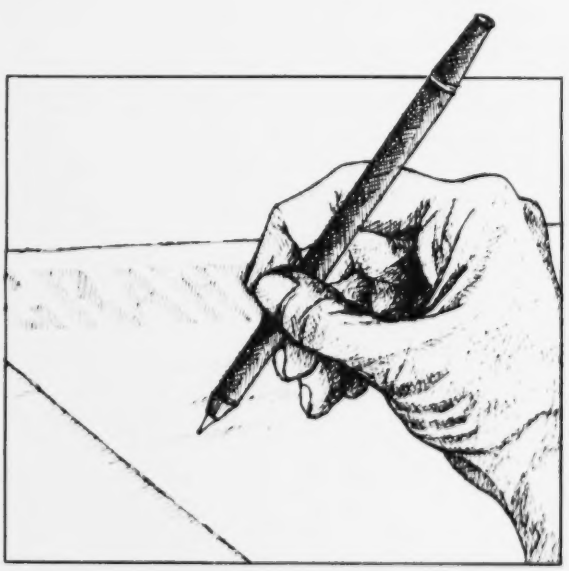
Whether your contact is a person in a state office or the program officer in the Federal office, keep in touch. Send news about your agency. Keep the person informed about your needs, new developments in your community or any other tidbit of information you think will be of interest and serve to keep your organization's name before the contact.

Grant or Contract? The distinction between grants and contracts is not clear cut, and agencies differ in their interpretations. (See Appendix IV-E: Analysis: Grants or Contracts?) For most purposes, however, these are the differences that will affect your bidding strategy:

- o Grants are not given to profit-making organizations.
- o Grants are more broad and general in their purposes than are contracts.
- o Contracts are usually for specific tasks which the government wants done and cannot do or products which it needs and cannot produce. Money not expended in completing tasks must be returned.
- o Federal contracts are solicited through "Requests for Proposals" (RFP's) listed in the Commerce Business Daily
- o Federal grants are solicited through an Application Kit/Guidelines, advertised in the Federal Register and the Catalogue of Federal Domestic Assistance.

Planning the Program or Project. You have a wonderful idea for a project which will provide important and needed services--or information or knowledge-- to the people in your community.

Proposals should be consistent with the goals, objectives and priorities of the community focal point agency, collocated and cooperating



agencies and the wider community.

Discover if collaborating agencies can add to the value of the project. Research similar programs in other areas of the country. Contact the directors of such programs and ask about them. People enjoy talking about their projects, especially if they are successful.

Document the need for your project's services in your community. You may know very well that there are hundreds of elderly people living alone in and around your community who have no way to use the existing services because they have no transportation or because they do not know the services are available to them. But, if you do not have facts and figures to back up what you "know," you are not likely to get a grant to provide rural bus service or to conduct an outreach program.

If you can answer the questions which follow, you are ready to write your proposal.

- o What shall we call this project?
- o Why do we need money to do it?
- o Who will be involved in it?
- o Where will it be located?
- o When do we want to start?
- o What is the problem? Who says so?
- o What do we hope to accomplish?
- o How will we prove we did it?
- o How will we make it possible for others to profit from our experience?
- o How will it be carried on after the grant is over?
- o How much will it cost?

The following proposal outline is usually used (Appendix IV-F: A Proposal Checklist).

Summary

I Introduction

II Problem Statement

III Objectives

IV Methods

V Evaluation

VI Future or other Funding Necessary

VII Budget

Since you have already answered the questions above, the outline should present no problems for you. However, the problem statement and program objective sections usually cause the most difficulty.

A problem can be described from a number of perspectives. It's essential to be clear on the criteria used by the funding agency. Usually the problem is defined from the perspective of the target population. Look at "the problem" as a discrepancy between what is and what could be--between the current state of affairs and the desired state. Take care that you do not become trapped in "circular reasoning," e.g.,

> We need a rural transportation system.
>
> The objective of this proposal is to fund a rural transportation system.
>
> With the funds requested, we plan to buy a bus and pay a driver.
>
> We have met our evaluation objectives--we now have a rural ....

This writer has mistakenly viewed the absence of the solution as constituting the problem.

To get at the real problem, we should ask: Why does the community need a rural transportation system? What population segment will the bus serve? How many people will be served? How do you know that the service is needed? Do the people want it?

(Example) Currently, there are 37 elderly men at the Good Samaritan Hospital who take part in no recreational or social activity. The Indoor Gardens project will provide recreational activity for these hard-to-reach men, with the assistance of student volunteers.

Program Objectives. Writing good program objectives is both difficult and critical. Well written program objectives increase your chances of success in receiving the grant and in managing your project.

Program objectives are milestones to be accomplished along the way to the major goal of your project. They should be consistent with and grow out of the goal statement.

Program objectives should be

-- measurable

-- attainable

-- dated or time-framed

-- indicative of an acceptable level of achievement

Here are some examples:

-- By January 18th, we will have recruited 15 student volunteers to work in the Indoor Gardens project.

-- Within a year, at least 50 percent of the male residents of the Good Samaritan Hospital will be participating in our recreational program at least once a week.

Building Cooperation. Requesting funding to forge and strengthen collaboration can enhance the total operation of a focal point agency. By building a proposal to meet multiple agency needs, focal point philosophy can be reinforced.

Cooperative ventures are encouraged by funding agencies because they:

-- serve greater number of individuals

-- help additional agencies

-- utilize money and other resources more efficiently by avoiding duplication

-- strengthen community working relationships

Submit a joint proposal with your collocated or cooperating agencies. Approach others in the community to share and cooperate in the project.

All health and welfare agencies, schools, service clubs, senior employment services recreation departments and others need to stretch dollars while providing maximum service. Cooperation can conserve resources. For example, one additional staff person could work at more than one agency; equipment could be shared.

Careful planning is required to build a successful joint venture for funding. Agency staff and governing boards should negotiate the arrangements. A special joint committee can work out specific details.

The most sensitive problem will probably be determining which agency is to get indirect costs. This can be handled in several ways. One way might be to build in consultant fees. Another might be to list a budget line item for a cooperating agency to

conduct the evaluation.

Submitting a proposal with one or more agencies is an application of the focal point philosophy and a good investment.

Foundations

What is a foundation? Dwight MacDonald has said, "the Ford Foundation is "a large body of money completely surrounded by people who want some."

For most practical purposes, a foundation is:

> "a nongovernmental, nonprofit organization with funds and program managed by its own trustees or directors and established to maintain or aid social, educational, charitable, religious or other activities serving the common welfare." (F. Emerson Andrews, Foundation Director.)

Foundations are allowed their privileged exemption from normal taxation because their charitable purposes warrant it. Their existence and definition are a matter of law and are subject to government regulation. The only thing really consistent about foundations is that they have money. Where it comes from, who handles it and where it goes vary from one foundation to another.

There are several types of foundation.

General Purpose: This group includes most large, well-known foundations. They have relatively few restrictions and are usually standard setters in the foundation world.

Company-sponsored: Tax-exempt nonprofit legally separate from the companies which provide their funds. Companies may have a corporate giving program as well as a formally organized foundation.

Community-sponsored: A group of small funds under a single administration. They receive their contributions and usually restrict their giving to the geographic area from which they receive their funds and to any designated interests of the donors.

Family Foundations: Usually created by the donor for current contributions. Grants reflect the immediate interests of the donor.

Special Purpose: Restrictions on grants are clearly defined in the founding charter. These are often (1) a specific field of research, (2) a particular activity or (3) a geographic area.

Researching Foundation Grant Prospects. Identify foundations interested in programs and projects which you would like to develop. This requires constant effort because, within the general guidelines established by the donor, emphasis and interpretation can change.

You need to know:

-- Foundations that (in stated purposes, at least) might be interested in your project or operations

-- Where have recent grants gone? For what and how much?

-- Are any of your board or staff acquainted with members of the foundation's board or staff? Any of your contributors?

In order to accomplish these goals, you will need (among other things) the following tools:

-- Foundation Index

-- Foundation Directory

-- Foundation News

-- Annual Reports

-- IRS Form 990s

Sources for the tools:

-- district IRS director

-- state attorney general's office (state only) regional collections of the foundation center

-- When requesting 990 forms, you must know the full name of the foundation. The List of Organizations Filing as Private Foundations will tell you this.

Concentrate on foundations with a tie or link to your agency. This will involve additional research to find out if trustees and other volunteers have any associations with the foundation. Get to know the programs the foundations have supported in the past and what projects they are now funding.

Build a prospect list of 40-60 foundations and trusts and zero in on them instead of using a shotgun approach on large numbers.

It is in your best interests to contact foundations from which you wish to seek support before submitting a proposal to them. For a member of your board of directors contacting a member of the foundation board is, of course, the ideal situation. However, the ideal rarely achieved. If you can find no other way to contact the foundation, simply call for an appointment. You may get information useful for an appointment letter if that is required.

If your request is accepted, go prepared to discuss your agency and why you think there is a possibility of working together someday, suggest possible details about the foundation's current interests and focus.

Writing the Proposal. The process for writing the proposal for a private foundation is much the same as for a government agency.

When you are ready to submit the proposal again, it is better to do it as a personal presentation. It is even more important if you have been unable to develop an earlier relationship with the foundation .

If you must submit the proposal through the mail, write a short cover letter in which you link the interest pattern of the foundation with the nature of your request. Try to summarize the proposal in a brief paragraph. Include the activity, purpose, how long it will take and what it will cost. If you can't do that, you probably need to refine your thinking further concerning the whole proposal.

Address the person specified in the Foundation Directory. If no person is specified, address the person listed as executive director or executive secretary. If there is no title, call and ask. If you cannot call, address the secretary or president of the Foundation.

Send a general brochure (if you have one,) and a current financial statement.

If you don't hear that your proposal has been received, send a follow-up note or call.

You may make multiple submissions, but each should be individually typed. It is highly unlikely that you will get an acceptance from more than one foundation, but, if you do, write one of the foundations and ask about a second year of operation or about another project.

After submission, keep your organization in the foundation's eye. Send appropriate news stories, publications, etc. If you get a partial grant from one foundation, tell the others to whom you have applied. Relate any new programs you develop to the proposal. Send invitations to special events.

General Support Grants From Foundations. If research has shown that the foundation gives general purpose grants, submit a proposal citing "special circumstances." Set a specific amount, using these points as criteria:

-- your total operating budget

-- the foundation's assets

-- the foundation's giving pattern

Maybe you have received contributions from foundations in the past. Always try to increase the amount you receive. Check the Foundation Directory. If the foundations are in the directory, they have assets over $500,000 or make grants over $25,000. If they are this big, they can increase their contributions. Plan a campaign to increase these contributions. Those who are giving general support can be approached to give for projects. You will have to make a decision here. If you get a specific grant, you'll probably lose the general purpose grant. Is it better to approach a new foundation for the project? Approach former contributors to give again. Follow up, find out why they stopped giving. Send information about your organization.

Building a good prospect list and researching granting agencies and foundations is tedious and time consuming. However, it is essential to a successful grant development program. The better you know your prospects, the better your chances of placing the right proposal in the right hands.

Section 3

PUBLIC RELATIONS

BUILDING THE FOCAL POINT IMAGE
WHAT ARE GOOD PUBLIC RELATIONS?

Public relations are communications with the public--that is, with your community. Good public relations develop understanding and good will by describing and interpreting your organization's performance for the community. Public relations affect your organization's resource base: People want to know exactly what the organization is doing before lending their support, whether that support is time, money or other resources. Your communications efforts also inform older people and the general community about the organization's programs and services. In sum, communications influence decisions that can affect the survival of your organization.

Community support begins with the people served by your organization. The quality and range of services offered, your organization's treatment of its employees, its relationships with its board and with other organizations in the community and the community's perception of what your organization is doing all contribute to its image. Most important, changes --such as developing a focal point for service delivery--require a great deal of communication with all of the people concerned. Your organization's image--and its eventual success--depends on how well it communicates with the community.

Every organization communicates with the community it serves. Unfortunately, some fail because their leaders are unaware that a message--an image--is being developed and communicated by every action taken. Others fail because sources of community support have not been identified and properly approached (communicated with).

Public relations activities structure and manage the organization's communication with its community. A communications program --good public relations--requires careful research, planning and specific activities. These activities should be designed to provoke response, whether it is inquiries about services, contributions or an offer to assist with program development and implementation.

Nonprofit organizations have borrowed many ideas and methodologies from the business world, including the notion of public relations. A relatively new concept, which promises to revolutionalize the way philanthropic organizations relate to their

communities, is marketing theory. In Philanthropy and Marketing (forthcoming), James Gregory Lord comments that many institutions of social good have assumed that the greater their need--and the more they talked about it--the stronger their case for support would be, and the more money they would raise. The message to the philanthropist was essentially this: "It's up to you to keep us going. If we have to close down, you'll be responsible." In the future, according to Lord, the less an institution talks about its own needs, the more successful it will become. Institutions should approach their communities by saying: "We're here to help you realize your own aspirations, to provide opportunities and to deliver benefits. And with your support, we can do even more than we're doing today." This approach can be applied to forging coordinative linkages as well as to obtaining administrative, monetary and political forms of support.

Your communications program, whether it is called public relations, information services or marketing, involves two major entities: Your organization and everybody else. Marketing starts with "everybody else" and their needs and interests, not your organization's perception of its own need. The people in your community will support your organization for their reasons, not yours.

DEVELOPING A STRATEGY

In order to achieve its goals, a focal point needs the support of the community, especially if any of these goals require new funds or changes in established procedures, services or funding patterns. This support will come when and if constituents understand that the focal point can contribute to their best interests. Follow the steps listed below to develop this understanding:

Define your constituency. Who are your constitutents? Who currently supports you? Why? What benefits are being sought? What other groups might be interested in the benefits the focal point offers? Could/should your organization offer additional or different benefits to meet the needs of these groups?

Divide your constituency into identifiable and manageable parts according to the interests, desires and preferences of each. Several categories of constituents follow--you may want to add others that are important in your particular community.

- o current elderly participants
- o potential participants
- o your organization's staff and boards
- o other related agencies
- o informal support network (friends and relatives of elderly participants)
- o key community leaders
- o general public

Major interests of the various constituencies might be:

- o access to services and activities; opportunities to volunteer
- o benefits of services and activities
- o policies and procedures
- o benefits of services and activities for the organizations and their clientele
- o general information about services and benefits

- your organization's relationship to the power and decision-making structure of the community

- awareness of services as a benefit to the community. Everyone represents a potential future participant!

Your constituency can be defined in different ways. Marketing specialists often group people according to their ideas, interests, attitudes, and life styles. Demographic factors--sex, age, income, residential areas--can also be taken into account. The classification used above is based on your organization's relationship to groups of people within your community.

In developing a communications strategy, you should identify what each category of people can contribute to your organization. Where does the power lie? Who has the money? Who can facilitate needed changes? A third column labeled "potential contributions" should be completed as you define your constituency and develop your communications plan.

Listen to your constituency. Ask your constituents what they think of your organization and what they want from it, rather than telling them what you want from them. Though this need not be a formal market survey, it should be done systematically and the findings should be formally presented to your board and staff. At the least, identify a few leaders in each constituent category, ask the right questions, listen carefully and accurately report and summarize your findings. Some questions might be:

- Who do you think benefits most from our services? Are we meeting these needs as well as we could?

- How would you define our role in the community? Are any changes needed?

- What do you see as the focal point's major strengths? Its major weaknesses?

- How do you (as an individual/ organization) benefit from our services and activities?

- Do you think the focal point is well known in the community? Is it better known by some people than others? Which ones? Why?

- How is the focal point perceived by the community? What terms would be used to describe it? Would different groups of people describe it differently?

Though you will want to ask similar questions of each person with whom you speak, you should also ask follow-up questions to obtain specific information (examples, numerical data).

Identify the kinds of supportive actions needed by your focal point. The information gathered during the first two steps should contribute to the focal point's on-going assessment of its own purposes and goals. Following are examples of some supportive actions an organization might take:

- create community awareness of the problems and opportunities associated with growing older

- enhance the image of older people

- attract new participants

- generate financial support

- encourage intergenerational contacts

- attract volunteers

- stimulate social action on specific issues

- gain community recognition

- o increase service levels
- o coordinate available services
- o positive publicity in media; requests for information
- o increased media coverage of events involving older persons in positive roles
- o donations, grants, fund allocations
- o increased services, programs for more than one generation (e.g., volunteer grandparents, neighborhood parties)
- o applications from volunteers, inquiries about volunteer opportunities
- o proposed legislation; participant task forces, special committees; letter writing campaigns; active, knowledgeable participants
- o requests from other agencies to coordinate services, participate on boards; awards; citations; publicity in media, and related publications
- o increased funding, service allocations for elderly people
- o other agencies' participation in fiscal agreements, interagency committees, collocation of services, interagency agreements, etc.

Public relations activities support your focal point's goals. However, you must develop detailed objectives in your communication plan which define secific types of communication activities and expected outcomes from each.

Identify the groups with the greatest potential for meeting your needs. This step involves matching up the major interests of your constituency groups with your focal point's goals. It won't be a perfect fit, and you'll need your most creative thinkers. Your organization should emphasize the direct (future) interest of everyone in your community through a theme such as "building a better community for tommorrow."

Identify your focal point's niche in your community. A focal point has a special area or "turf" within your community. Redefining this niche can either threaten or reassure other actors in the community. If you're building community support, the role of your focal point must both be nonthreatening and present substantial benefits to the persons you expect to support you. Think about other concerned groups when defining and describing your focal point's current and/or planned role in the community.

Write a communications plan. Using the information developed in the previous steps, plan specific activities, each of which should elicit a supportive response. (See Appendix IV-G: Approaches to Information Dissemination.) Define the responses your focal point needs and develop a communications plan designed to elicit those responses. The Tools and Techniques section which follows and the appendixes provide concrete ideas and suggestions for specific activities to be included in your plan.

Describe how your focal point's goals support the best interests of your targeted constituencies. If your focal point's goals support the interests of potential participants, donors and community leaders, their support is assured. In your plans, clearly specify why it is in the best interests of each constituency group to support the focal point.

Develop communications tools. When the analysis described above is complete and printed, audiovisual materials should be developed for use by your supporters in the focal point's communications programs.

TOOLS AND TECHNIQUES

Design Principles. Five principles for shaping a marketing campaign are described by Lord. Though Lord is primarily concerned with fund raising, his principles provide general guidance for the development of any communications program. They are:

- o Design for People. Support is obtained by people--the focal point's leadership, staff, participants, volunteers and contributors. The materials you develop are for their use and should be designed with them in mind.

- o Focus on Volunteers. The people involved with your organization (your leaders, participants, volunteers) will do the convincing, not the materials you develop. Your materials should support your people's convictions, enthusiasm and confidence. Their attitudes and behaviors will convince others to support the focal point's efforts.

- o Plan for Responses. Though your materials will provide facts and figures, people act for both rational and emotional reasons. Each item in your communications plan should have both rational and emotional appeal, and each item should be designed to evoke action, not just to provide information.

- o Keep it Simple. Present one simple, coherent idea in each activity or publication. If carefully developed, your presentations should keep people's attention and move them to action. Don't introduce complex issues--people may decide that your focal point is unsure of its purpose and direction. However, advocates for the focal point should be able to respond intelligently to a range of issues when and if they are raised.

- o Aim Outside. If you follow the planning steps listed above, your focus will be on serving your constituencies' needs, not solving the focal point's problems.

Develop your materials using these principles as guidelines. Remember, your materials support your communications strategy. Your strategy will develop and change as the focal point gains experience and continues its research activities. As your strategy changes, your materials should be revised to fit its demands. Different types of communications materials are described briefy below.

Printed Materials. The following brief descriptions of printed materials include items intended for internal use by your organization, for fund-raising campaigns and for ongoing communication with your community. Though some items can serve all three functions, the purpose of each, in terms of expected response, should be defined prior to the item's development.

- o The Communications Plan describes your strategy and the concepts behind your approach. It also lists your tools and assigns responsibility for the various parts of the plan. The plan is an internal document for your organization's use. Specific activities should be developed for each support group targeted by your plan.

- o The Case for Support is a written tool of persuasion which shows your supporters why your focal point's goals are in their best interests. Also provide a Case summary, a one-page synopsis of the case for support.

- The Fact Sheet provides additional information about the institution.

- Your focal point's Logo and Theme provide a standard identity for your organization. The logo is a visual symbol; the theme may be a slogan or simply the name given to a particular program, project or campaign.

- The Major Brochure "popularizes" the case for support, describing the kinds of assistance your focal point can use.(See Appendix H: Brochures and Pamphlets.)

- Campaign Kits are developed for fund raising efforts. They should include a folder or envelope that organizes materials, a solicitor's guide which describes various campaign solicitation techniques and report envelopes to hold signed pledge cards. These materials are for volunteers' use when soliciting funds.

- Your focal point's Letterhead (with printed logo) establishes a separate design signature for your organization. An attractive letterhead with matching envelopes and second sheets can play a major role in establishing your organization's image and identity.

- The Annual Report introduces your focal point and describes its role in the community, presents an annual budget report and analyzes the organization's successes and failures. It can be your most important publication and should be widely distributed.

- Your organization's Newsletter informs staff, participants and other interested people about policy changes, new programs, legislation or other events affecting programs, activities and personal news items. Also, publish notices about your focal point's activities in other organizations' newsletters. News about your focal point can reach wider audiences this way--but your organization should reciprocate the favor in its newsletter.

- Publicity about Special Events, such as tours, annual fairs or open houses, a legislative forum, contests or other special activities, informs the public about your organization.

The following "Check List for Media Exposure," adapted from Media Relations Handbook, indicates the variety of activities that have good public relations potential.

- Personnel
  - -- new people join your agency
  - -- new board members elected
  - -- promotions
  - -- retirements
  - -- awards or honors
- Facilities
  - -- addition of new or unusual equipment
  - -- renovation or addition of a new office
  - -- change of location
- Services
  - -- increase in service
  - -- new kind of service
  - -- change in hours of service

o Community Relations

-- any special service to the community

-- fund-raising drive by the center

-- talks before important groups

-- a participant, staff or board member is elected to office of a a service club of another organization

-- open house

o Feature Story Potentials

-- employee or participant with unusual hobby, project of interest or volunteer service

-- important social function at which an employee or participant is a principal

-- unique service provided by your agency

The development of a positive focal point image depends on your organization's ability to structure and manage its communications with your community. Your communications program describes and interprets your organization's performance for your community by telling how your services and programs benefit your participants and supporters. Good planning begins with research to learn how your organization currently is perceived by various community groups, followed by the development of a specific communication strategy and action plans. Public-relations tools and techniques should then be designed and used to elicit responses and to stimulate the efforts and enthusiasm of your volunteers and supporters.

What are tools a focal point administrator can use to promote good public relations? There is the written word in its various forms, from posters to magazines. There are also the audio and visual media from live presentations to television and radio. The written and the audio/visual media use the spot news story, feature story, public service announcement (PSA) and interview format. The following sections discuss how to prepare your "news" story for the media. The following selected sections are taken from Public Information Activities for State and Area Agencies on Aging, an AoA technical assistance document.

Preparing the Story

First, let's outline some rules you must observe to get your story even a glance in a newspaper, radio or television news room.

1. Use standard sizes (8½x11" or 8x10½") white paper, preferably without decoration. If your organization letterheads are simple and confined to the top of the page, this is acceptable. But don't use letterhead stationery that has a long list of officials running down the side of the paper. Always use standard weight paper.

2. Type your story, double-spaced, on only one side of each sheet. Leave about a third of the first page blank at the top for the editor's use. Leave at least an inch margin on both sides and at the bottom.

3. Don't send carbon copies to news media. Either reproduce the story on some kind of duplicating machine or type an original for each recipient.

4. If you don't use letterheads, type the name of your agency and its address in the upper left-hand corner of the first page. The date, the writer's name and his/her business and home phone numbers go at the upper right-hand corner.

5. Two or three spaces below the agency name and address, type "For Immediate Release" or instructions for a specified release date if the material must be held for a later date. If, for example, you are furnishing a summary of a speech before it is delivered, as you should do if at all possible, type "For Release on Delivery at 7 p.m., May 14, 1975." You do not have to worry about news media breaking release dates for which there is a good reason. They don't.

A note of caution about release times. Wire services--Associated Press, United Press International and others have as clients both the press and radio and television. General operating procedure is that news releases marked for release on a particular date are available for use by radio and television news stations as of 6:30 p.m. the evening before.

If, for example, your story is scheduled for release "for AMs Tuesday, June 23," radio and television may use it after 6:30 p.m. on Monday, June 22.

If it is important that your story not be used by anyone before a particular time, be certain to put the specific time of release on your news story.

6. Try to hold your story to a single page. If you must run to a second page, end the first page with a complete sentence and paragraph, then write the word "(more)" at the bottom of the page. On the second page, write your name or that of your agency at the upper left and "2" at the upper right.

7. At the end of the story, write "-end-".

8. Don't try to write a headline. That's what copy editors are paid for and why you left room at the top of your first page.

9. (See Appendix IV-I: Typical News Story.)

The Spot News Story

When you write a spot news story, try to write the story the way a reporter would write it. The lead, that is, the first sentence or two, must contain the "WHO, WHAT, WHEN, WHERE AND WHY." The lead is designed to give the reader information quickly and in such a manner that he will want to read the rest of the story. It should be kept to 30 words or less, if possible.

After the lead, write the details in declining order of their importance. This permits the story to be cut from the bottom, if need be, without having to rewrite it to avoid leaving out important facts.

Be brief. Ordinarily use short words, short sentences and short paragraphs. Avoid adjectives, being cute, literary or arty.

Use exact dates ("May 18"), not just "Thursday"). Always use addresses when necessary.

Never editorialize. Don't write "A wonderful day was had by all." Not only is this hackneyed, but it is, after all, just your opinion. Instead, write something like this: "Mrs. Mary Jones, 87, who lives in Parkland, said this was the first trip she had been able to take in over four years. 'It's something I'll remember the rest of my days,' she said."

The sample story on page 6 should give you a good idea of how to prepare a spot news story.

Such stories will let news media know what's going on, and they can call you for additional details if they are interested. But, even with a fact sheet, you should do your best to include facts and details that will interest the editor and be of interest to his/her readers or listeners.

The Feature Story

Feature stories are written days, even weeks, before they appear because they are not timely. They may be definitely tied to a time element, but they are about something you know is going to happen or that you can control. Eighty-seven-year-old Mrs. Mary Jones, used earlier as an example for a news story, may also provide material for a feature story. What are her interests, what did she do for four years before discovering the transportation service, is she a widow, did her husband have a great war record, did she travel, does she paint or have an interesting hobby? She might, in other words, provide plenty of material for a "personality" feature.

Other people and events connected with your program can easily provide much material for feature stories. In your date book, keep a record of the more newsworthy older people in your area, and a record of special events, such as anniversaries. When you think you have good material for a feature story, talk to the editor of your local paper or to the reporter who usually covers your project. Be sure to get to them two or three weeks in advance of any special date and ask if they are interested and whether they want you to provide a prepared story or information from which they can write the story themselves.

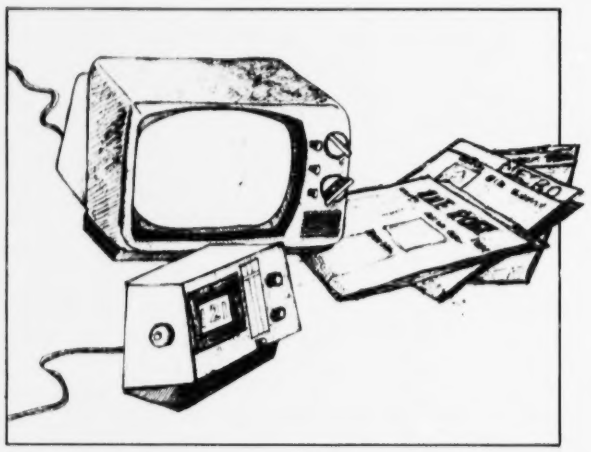
If the editor assigns someone to do the story, write a memo giving him all the data, introduce him and his photographer to the interviewee and give efficient but unobtrusive assistance. Do not insist on sitting in unless the person interviewed makes it a condition.

You may want to help the interviewee by telling him in advance the kind of questions he/she is likely to be asked. If he/she can be somewhat prepared, he'll feel more comfortable, and the interview will go more smoothly. Your notes on the individual should contain a paragraph of general information about your program. If it's used, fine; if not, nothing is lost.

If the editor says he'll use a story you prepare, keep in mind that a feature must be news, too, and that news is something that interests people other than yourself and your close associates. Build your story around facts of general interest. (See foregoing on "What is News?") A little study of feature stories in your local papers will quickly show you what is being used. And just give the facts in plain language; if they are really interesting enough to be news, they'll be dramatic without flowery writing.

Television and Radio

Radio and TV should play a vital role in your total information picture, and you don't have to be an expert to use them effectively. However, you do need to understand how radio and television stations operate, the options that are open to you and the most productive ways to request and receive coverage of your agency's activities. These are not hard-and-fast rules, only practical suggestions. Stations, after all, are run by people, not guidebooks.



To the professional broadcaster, radio and television are distinct and separate media, each with its own technical requirements. For your purposes, however, many of the methodologies suggested for television are applicable to radio. While there are differences between the two media that may dictate the use of other styles or approaches, they are more alike than you might imagine. One similarity lies in the fact that both media can create immediate public impact and offer a variety of opportunities to tell your story. The other is that both radio and television, except for the public broadcasting stations, are commercial media, and to deal with them you must think in commercial terms, accommodating your information program to the needs of broadcasting.

Commercial broadcasters face a peculiar dilemma. Their first requirement is to sell time to commercial sponsors in order to pay high operating costs and earn a respectable profit. This means that they generally look for products with a high entertainment value which will appeal to a wide and diverse audience. Their second requirement is to be responsive to community interests and needs, including those of minorities and other special populations. (In this case, "community" is defined as the geographical area covered by the broadcast signal, not merely the jurisdiction in which the station is located.) To demonstrate their "community responsiveness", stations are obligated by the Federal Communications Commission (FCC) to devote a certain amount of time to programs and spot announcements in the public interests-- without charge.

These two demands on broadcasters are frequently in conflict, and the problem is further compounded by the fact that the FCC sets no minimum amount of time that a station must donate to public service broadcasting. The only reckoning comes at the time of the station's license renewal, when this is carefully scrutinized and weighed.

You can well appreciate the broadcasters' plight, caught as they are between their need to make money and their desire to serve the public interest. Station executives are besieged with demands for that small but unspecified amount of public service time. If you were a broadcaster, how would you decide who gets coverage? You would probably select the organization that comes up with a "saleable" product, one which (1) is of demonstrable community concern and (2) meets both the format and technical requirements of the station.

Now it's up to you, the area agency, to create such a product, and this means carefully planning what you should say and how you ought to say it. Always have a working idea before you approach a station; don't expect to sell a station merely on the basis of your worthiness.

Noncommercial radio and TV stations--those belonging to a public broadcasting system or attached to a university--are a different matter. While they usually do not reach as large an audience as commercial stations, all their time is "public service," so to speak, and they are usually happy to air material relating to local service programs and may even offer to help prepare it, especially if there is some money to pay part of the production costs.

A number of states have their own educational TV systems. These are statewide public broadcasting systems and, if they produce a show for you or use your PSAs, you will be getting statewide visibility.

Also, don't overlook any stations which may be sponsored by universities or colleges in your area. A university TV or radio station may agree to make a program on some topic you suggest as a class project. In that

case, you may get a very professional production from an investment of very little of your time and no money.

Approaching the Station

If yours is a relatively new area agency, or if this is your first approach to a station, go directly to the top--the station manager. It is his prerogative to refer you to someone under him, but at least the request to see you will come from the boss.

It is best to write a letter to the station manager requesting an appointment at his/her convenience. Your letter should cover three specific areas:

State your mission and goals, list some of the important organizations with which you work and the number of people your area agency seeks to help. Make it brief. When you meet with the station manager, you may supplement this information with fact sheets or press releases.

Indicate in specific terms what you are asking of the station--a series of public service announcements, a guest appearance on a certain show, news coverage of a specific event or a combination of them all. If existing local programming isn't suited to your needs, and if you can make a sufficiently good case, you might request a program of your own, either a series or a one-shot special. In any case, whatever your request, submit workable ideas. Don't waste the station manager's time with vague generalities.

In both the letter and the interview, **be careful not to put the station on the defensive.** Put your case positively, indicating why you think your message is important and of widespread interest. Fortunately, there is an increasing awareness on the part of the media that older people constitute a significant segment of their viewing audience, so you may not have to blaze a trail in this area.

If the station is interested in proceeding with your ideas, see to it that only one person is assigned the responsibility of working with the station for your area agency. Approaches by several people from the same organization are confusing and counterproductive. Be prepared to accept suggestions, and remember to write a follow-up letter of thanks to the station manager.

If you have followed these suggestions and still get turned down by the station, don't badger them about it. If you have made a good presentation, it will be remembered. Leave the door open for future contacts, and try again in a few months.

How to Write a Public Service Announcement

When you write a public service spot of whatever length, there are certain things to keep in mind in addition to naming your target audience. You want to be forceful and specific, so don't waste time and words on vague generalities. The most important information, such as telephone numbers or addresses, should be repeated verbally and backed up visually. It may be helpful to pretend that you are talking directly to one individual and frame your message so that the person will clearly understand what you want him/her to do and the positive effects that will result.

You need not be intimidated by the slick, professional and expensively filmed spots distributed by national organizations. Many stations actually prefer to feature local organizations in their public service time. A simple and effective public service spot can be done with relative ease. Basically, all that is needed is timed copy to be read by an announcer, with one 35mm color slide to accompany each 10 seconds of air time.

Normally, a 10-second announcement contains 15 to 20 words, a 20-second spot has 35 to 40 words, a 30-second spot 55 to 65 words, and a 60-second spot approximately 120 to 125 words. When counting your words, watch out for numbers, which may look like one short word when written out but are actually spoken as several words ("120" equals "one hundred and twenty"). Don't ever read a spot silently when timing it; say it out loud in your regular speaking voice. If you don't, you are likely to run over time.

Slides are 35mm color transparencies which can be professionally done at minimal cost. Make sure that they are horizontal, not vertical, and that the graphics and pictures are concentrated in the middle, since there is a peripheral loss in TV projection. Slides should be mounted between glass--because cardboard gets stuck in the slide chain--and should measure 2" x 2". Most professional photographers can mount your slides as well as advise you on the limits of the usable area within a slide. Many TV stations will also do this, but allow them extra time.

There is a specific format for a TV public-service spot which must be followed. At the top, you list the name of the contact, your organization's name, address and phone number. You also put down the actual dates of the time period during which you want the PSA to be aired. Depending on the purpose of the spot, this could be anywhere from a few days to a month. Below that, write a headline for the spot so that its content can be identified immediately. The length of the spot and the number of words are listed at the left margin below the headline. The most vital part of the PSA format is that the copy is written in a right-hand column, headed "AUDIO," and the accompanying visuals placed at the corresponding point in the left column, headed "VIDEO." In the case of slides, the left-hand column would say SLIDE No.____, leaving room for the station to write its own identification number. Immediately under this, in parentheses, describe the picture, if a photograph, or the copy, if the slide contains written material. This is done so that the slides won't get out of sequence despite the identification numbers. (See Appendix IV-J: Television PSA.)

Make sure that each slide is listed directly to the left of its designated paragraph of copy. While the general rule of thumb is one slide for each 10 seconds of timed copy, be flexible about this, particularly in the case of a slide to be read by the viewer. Also, if you show a phone number or address at the start of a longer announcement and want to repeat it at the end, you must provide two separate slides, even if they are duplicates.

If you want to attempt a more complicated production, you should determine from the station its preferences and the degree to which it may be willing to assist you. Many stations will discuss the development of necessary visual support materials, whether color films, art work, cartoons or studio placards, as well as slides. Some stations even set aside a segment of their studio time to participate in the production of public service announcements for local groups. You might be able to use a well-known civic leader or other public figure in a taped spot. Keep in mind the possibility that among the older people in your area there may be persons who have retired from broadcasting or advertising who would be happy to assist you in your efforts. Don't feel, however, that you must employ all sorts of gimmicks to produce an effective public service announcement. A simple, straightforward approach is frequently the best, particularly if you do not have access to professional assistance.

For each specific message you

want to get across by a public service announcement, it is a good idea to offer a variety of lengths; the station may be able to air your 10-second spot several times but not find time for your 60-second spot. Study network commercials for good hints on how to condense longer material. You must include a separate set of slides for each announcement, even though many of them are duplicates. Keep your headline and basic information constant, whatever the length, so that the station will realize that you are dealing with the same subject. If you have a public service announcement intended for use over a long period of time, vary your copy. Viewers have a way of tuning out words they have heard repeated too many times in exactly the same way. Make sure the station understands that these are variations on a theme, and group the spots together by length when you send them to the station.

NOTE: From time to time, professionally produced public service announcements may be sent directly to your local television stations under the auspices of AoA. These will deal with national thrusts, such as Older Americans Month. Even though they are distributed nationally, there is usually some provision at the end for local identification, such as your state or area agency on aging. You will receive notification of their having been distributed, and it is a good idea to follow up with the stations, indicating their local tie-in. Stations are more likely to use nationally distributed PSAs if they know that there is a strong community affiliation.

Radio Public Service Announcements

Radio copy is slightly faster than television. The rule of thumb is 25 words per 10-second increment. Thus, a 10-second PSA contains roughly 25 words, a 20-second spot has 50, a 30-second PSA 75, and a 60-second spot contains about 150 words. In many areas of the country, the 15-second spot is gaining favor. It should contain approximately 37 words. Obviously, radio copy is written exclusively for the ear, so let that be your guide. Avoid unnecessary details, because the listeners can't grasp too much in a short period of time. In shorter spots, try to emphasize the most important point. In longer spots, emphasize and then reemphasize. You don't have visuals to support your words, so the words alone must tell your story.

Radio public service spots are apt to be broadcast at different hours than television spots, because "prime time" for radio is during the morning and evening rush hours, rather than the 8:00 to 11:00 p.m. period on TV. Your radio spots are more likely to be broadcast during the middle of the day or in the later evening hours. That is not necessarily bad where your older listeners are concerned, because their listening habits may be somewhat different from those of the work force.

In typing a radio PSA, again indicate the time period during which you want the spot to be aired. Usually, two weeks is the longest, with the exception of Older Americans Month. After that, stations feel that it is someone else's turn. Public service announcements should be headlined so the subject can be noted at a glance. This is particularly important where more than one spot has been submitted on the same topic. The time of the spot and the number of words should also be listed for the convenience of the announcer. Again, all spots should be read out loud against a stopwatch, because it's the time that matters, not the number of words. (See Appendix IV-K: Radio PSAs.)

Writing a News Release for Television

If you have a story you think qualifies as hard news, adapt your print news release to the requirements of television. While some TV news operations have the time and personnel available to do this, it has a better chance of being used if you submit copy that already takes the medium into consideration. It is always wise to include a fact sheet with your release. The station may see other possibilities in your story or may wish to rewrite it to conform more closely with its own style requirements.

A story written for TV news must supply the same essential facts supplied by a press release, but you won't have time for the details normally included in the latter part of a press release. Also, remember that what you are writing is designed to be heard, not seen. Such copy is more informal than print copy, uses more contractions and generally follows the lines of oral conversation. It is particularly important to have a good lead that catches the ear. There should be no more than one idea per sentence, and the sentences should not be long. The ear is the judge. If you are in doubt, read it out loud and see how it sounds.

A TV news release may follow the normal print format as far as the crediting and release information at the top are concerned. However, the National Association of Broadcasters suggests that all crediting information be listed in the left-hand column and the release date written at the right. Be specific about the release date. Say "For use on Monday, September 2" rather than "For immediate release." This allows you to use such words as "today" or "tomorrow" in your copy if the event is imminent. If there is a longer time lapse, it is best to use specific dates. Most stations prefer copy to be triple-spaced, rather than double-spaced, and with wider margins than press releases. Start your copy a third of the way down the page, and don't split a paragraph over to a successive page. Proper names should be phoneticized in parentheses following the regular spelling if they are difficult to pronounce. Use soft, standard-size paper that doesn't rattle for air-ready copy, and bear in mind that copies must be as legible as the originals. A good Xerox copy is generally better than a carbon. Check with the news directors to see how many copies the station requires.

Since requirements vary from station to station, it's also a good idea to check with the news director about its policy on visuals. Some stations will use color photographs, but most prefer 35mm color slides. Try to figure out some unusual visual angle. The only exception to this search for the unusual is in the case of providing all local stations with a 35mm color head and shoulders shot of the area agency director to keep on file.

Finally, if you don't have sufficient time to write a special TV release, by all means send a regular press release to avoid failing to notify the station of an important event.

A story written for television news is perfectly acceptable copy for radio. If you take the time and trouble to rewrite a press release for TV, send it to all the local radio stations too.

How to Prepare for an Appearance

As indicated above, you should first familiarize yourself with the specific programs produced by the station, noting formats, moderators and hosts and whether the program is news - or entertainment - oriented. That way, you should have a fairly good idea of the types of subject and panelists suited to a particular program. The next step is to contact

the station and interest them in your idea.

If you have never worked with the station before, follow the steps suggested under the section "Making Your First Approach to a Station." If you have already established an ongoing relationship, contact the individual in charge of the show. (This could be either the program director or the news director, so check with the switchboard.) The only exception is the daily program, in which case you may contact the producer directly. Don't phone: Your request will only receive careful consideration if you put it into writing, indicating the subject you wish to discuss and the credentials of the people you are proposing as guests. You should also enclose a fact sheet describing the functions of your agency, particularly if it's relatively new. That way, if your specific program idea doesn't ring any bells, the station can come back with a counterproposal.

It is particularly important to convey to the station that there is a sizable aging constituency in the area it serves, since this may well allow you to tie in with planned news and public affairs programs discussing aging-related issues. Maybe a station won't devote an entire show to the specific problems of the elderly, but it will be willing to include a spokesman for older people in discussions of issues that affect them, such as housing transportation or inflation.

Once a show has been agreed on, you will be expected to provide background information on the issues to be covered, plus biographical data on the person(s) to be interviewed. (Be selective in what you send; don't deluge the interviewer with unnecessary materials.) On most occasions, it is helpful to the producer and interviewer if you will also submit a proposed list of questions well in advance. The only time this might not be appreciated is if the interview is to be conducted by one or more professional newsmen who prefer to prepare their own questions. Ask if you are in doubt. In any case, emphasize the point that your questions are only suggestions.

The way an interview or discussion begins is of vital importance. You should catch your audience's interest immediately or it will switch channels. Start off with an intentionally provocative question. Resist the temptation to open the interview with "What is Title III?" or the audience won't be around to hear your answer.

Bear in mind that a good interview (a) gives information, (b) arouses interest in an issue and (c) clarifies points of view if a subject is controversial. Using these criteria, prepare a line of questioning, making sure that one point will lead naturally into another and that the subject will be covered in the time allotted. Prepare at least 10 questions per 15 minutes of air time, and put the most important areas first to make sure that they will be used.

Think in terms of visual support where appropriate. On some programs, particularly straight news and public-affairs interviews, this is not possible. However, in many other cases, the stations welcome ideas to get away from the "talking heads" format by using studio demonstrations, film clips, photographs, slides and charts or graphs. (The latter should be used very judiciously, as a poorly prepared chart or graph can be worse than no visual at all.)

The program content should dictate the type of visual aid employed. If, for example, you're talking about an information and referral service, a slide with a telephone number would be logical. But try to be more than logical; be imaginative. If you're talking about the nutrition program, a typical meal might be displayed in the

studio. Also, don't ignore the visual value of crafts, hobbies, collections and memorabilia when older people are guests. Naturally, the use of any visual aid must be prearranged with the station. Props are generally submitted a day or two before the program to give the director an opportunity to incorporate them into the set. Slides, photos and film clips should also be submitted early for processing: Ask the producer how far in advance (See Appendix IV-L: Preparing to Speak in Public).

Tips on TV Guest Appearances

Men should wear medium tone suits, conservative neckties and dark, over-the-calf socks. Avoid loudly patterned suits, such as wild plaids or checks. Also avoid white shirts, as they produce a harsh glare on most color cameras. Any pastel or medium-tone colored shirt is fine.

Women should wear business clothes in solid colors or quiet prints. Avoid extremely dark or light colors, but medium and bright colors are good. A well-tailored pantssuit is perfectly acceptable, but if you would rather wear a dress, make sure it has a full enough skirt so you won't have to worry about how much of your legs are showing on camera. Apply your usual makeup, but consider using a brighter lipstick and more powder than you might normally wear. Don't wear clanky jewelry.

It's a good idea to bring to the studio an extra set of questions and fact sheets--they have a strange way of getting lost at the last minute. Don't be surprised or upset if there is little or no time to discuss your appearance with the interviewer before the show. If you have a few minutes, it will probably be an informal chat to serve as a warm-up. This is not the time to suggest new topics you want discussed. You should use whatever free time you have beforehand to review in your own mind your most important points so that you can lead the discussion around to them and weave them in should the interviewer deviate widely from your suggested line of questioning.

During the Program

1. Unless you are specifically directed to do otherwise, never look at the cameras or monitors during the program. When you talk, look directly at the person to whom you are speaking. Use gestures if they are natural to you. When someone else is talking, always look at and listem to them--as you would in a normal conversation--because you can never tell when the camera will be on you for a "reaction shot."

2. Don't lecture, ramble or make speeches. Answer clearly and concisely without being tense. Allow the moderator to make comments and respond to your statements. If, on the other hand, the interviewer cuts you off with a new question before you have made your point, you can always complete your answer by saying, "Before I answer that, I'd like to get back to what I was saying before." Use as many specific examples as possible throughout your appearance. They will spark and personalize your discussion. To paraphrase the old chestnut, one case history is worth a thousand generalities.

3. Use every television and radio appearance as an opportunity to counteract aging stereotypes and foster new attitudes about the elderly. You can build audience concern for older people without sacrificing their dignity. Try to avoid a we vs. they dichotomy in discussing problems of the elderly. Viewers should feel that everything you say has relevance to them, whatever their ages. You can do this by the implication that, if they are not old now, they will be and

these may be their problems someday if they are not solved now.

4. Avoid professional jargon like the plague and immediately explain in lay terms if you slip and use a technical phrase. To speak of the elderly as "consumers of social services" may have a precise meaning to you, but it is hardly the way to create interest and concern in an audience of average people.

5. Sometimes programs are pretaped for airing at a later date, so avoid references to the time of day you are taping. It sounds silly to hear a guest say, "I'm happy to be here this morning" on an afternoon show. Similarly, try not to date the program by using such phrases as "yesterday" or "last week" in relation to a known event. You can sidestep this problem by using the specific day or date on which the event occurred.

6. Whether a program is taped or "live," slips can and do happen. Don't get flustered if you say something wrong or lose a word or forget a name. Just correct yourself or start fresh. Viewers do make allowances for ad lib discussions. It is particularly important for you to remain relaxed in such circumstances, because flubs are almost never edited out of taped shows and the damage has already been done if you're on the air live. Another instance where a cool and level head is indicated is on those few programs that have telephone call-in capability or a studio audience invited to question the guest. You may have to field some irrelevant questions, as though it were your fault that Aunt Tillie did not get her Social Security check on time last month.

7. Don't spring any surprises during the program. If you want to give a phone number to viewers or offer them a pamphlet, make sure that this has been prearranged with the staff so that you will receive appropriate production support, such as a slide for a phone number or address for instance, or a copy of the pamphlet mounted for a close-up. Don't wave a brochure in front of a camera without prior warning and expect it to be seen by the viewers.

In conclusion, remember that news personnel are no different from other people. They have a job to do, and most of them want to do it well. Help them to do their jobs, don't hinder them and you will make them your friends.

But most important, you will be expected to do a consistent job, not a hit-or-miss one. If newsmen learn that you can be counted on, that material obtained from you is consistently accurate, that you understand the difference between news and propaganda and that you are invariably candid and responsive, you will always find a ready welcome in any newspaper, radio or television office.

SUGGESTED READINGS - UNIT IV

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Grantsmanship and Publicity Publications

Ordering information on grantsmanship and publicity publications and information services is available on request from Foundation Center, 888 Seventh Avenue, New York, New York, 10019; Grantsmanship Center, 1015 West Olympic Boulevard, Los Angeles, CA 90015; "Proposal Writing" Continuing Education Publications, 1633 S.W. Park, P.O. Box 1491, Portland, OR 97207; Public Relations Society, 845 Third Avenue, New York, NY 10022.

GLOSSARY

GLOSSARY

AARP- American Association of Retired Persons

ACCESSIBILITY - refers to the elimination or reduction of physical, social or eligibility barriers to the participation of older people in the service system.

ACCOUNTABILITY - responsibility to a policy-making body or a supervisor for carrying out delegated functions; to the public for the prudent, careful, judicious, and cautious use of resources seen as monies provided through taxation or contribution.

ACCOUNTING - a system of controlling, recording, and reporting financial transactions to ensure accuracy and accountability.

AD HOC PROJECT COUNCIL - advisory group appointed of potential participants and community representatives to assist during the project's planning phase and until the regular Project Council is organized.

ADMINISTRATIVE RECORDS - those records containing information about personnel, financial and other internal matters.

ADVOCACY - activities by which one person or organization supports or defends the cause or well being of another.

AFFIRMATIVE ACTION PLAN - documentation of equal opportunity.

ANNUAL AUDIT - a yearly examination of the community focal point's financial books and records to assure that all revenues and expenditures are handled and recorded in a manner consistent with thed community focal point's goals and purposes and with accepted accounting standards.

ANNUAL REPORT - a summary of the community focal point's activities, services, and general operations for a calendar or fiscal year.

AoA - Administration on Aging.

AREA AGENCIES ON AGING (AAA) - agencies that plan, advocate, coordinate and pool resources to provide a comprehensive service delivery system to older persons aged 60 and over at the local level.

ARTICLES OF INCORPORATION - document filed with the state which establishes the legal existence of a private community focal point or agency.

AUTHORITY - prior approval to act or make decisions within prescribed limits and without further approval.

BOARD MANUAL - contains documents used frequently by members of a governing or advisory group.

BUDGET - a detailed projection of income and expense for a fixed period of time, usually a year.

BYLAWS - supplement to articles of incorporation which sets forth basic rules for operation of the organization or its governing body.

CASE MANAGEMENT - a process which coordinates multiple services for individual older clients through a process of assessment, planning, arranging for and monitoring services.

CHARTER - same as articles of incorporation.

CLIENT CONFIDENTIALITY - protecting the records of clients from review or use by unauthorized persons.

CNI - Community Nutrition Institute

COLOCATION - offices or services of more than one agency placed in single facility.

COMMUNITY FOCAL POINT - highly visible entity that improves service accessibility.

CONSTITUTION - essentially the same as bylaws.

COORDINATED BUDGETING/PLANNING - the integrator sits with all service providers together or individually to develop their budgets but without any authority to ensure the budgets are adhered to or the traditional service agencies develop their budgets together.

COORDINATION - structuring of working relationships between the focal point and the resources of the rest of the community.

DELEGATION - assignment to another person of responsibility and/or authority.

DIRECT COSTS - all costs are considered to be direct costs if it is clear they can be and are charged directly to a project.

EQUAL OPPORTUNITY EMPLOYER - nondiscriminatory hiring practitioner.

EVALUATION - an on-going review process to assure timeliness, progress and effectiveness of a community focal point's program and operation.

GATEKEEPERS - persons outside the established human services agencies whose occupational roles give them frequent contact with older persons, i.e., policemen, teachers, bartenders, physicians.

GOVERNING BODY - the group which has legal and policymaking authority over the operation of a community focal point.

INCORPORATED - given a legal existence under the laws of the state (usually applies only to private agencies).

INDIRECT COSTS - normally indirect costs are those costs of an institution which are not readily identifiable with a particular project or activity but, nevertheless, are necessary to the general operations of the institution and the activities it performs.

IN-SERVICE TRAINING - instruction provided staff members to increase knowledge, competence and skill.

JOB DESCRIPTION - defining the task(s) to be performed, line of accountability, area of responsibility and authority and special skills needed.

JOB QUALIFICATIONS - skills required to complete position objectives, usually defined by experience and education or training.

JOINT PLANNING - the joint determination of total service delivery system needs and priorities through a structured planning process.

MANAGEMENT - the process which enables a community focal point to achieve its stated goals through effective coordination of human effort and efficient utilization of resources.

MONITORING - regularly and systematically checking the coordination and completion of work according to an action plan.

NATIONAL COUNCIL ON THE AGING (NCOA) - a national nonprofit agency representing the concerns of older persons by providing research, consultation, publications, technical assistance and training for those who work with older persons.

NISC - National Institute of Senior Centers.

NRTA - National Retired Teachers Association.

OAA - Older Americans Act.

OBJECTIVE - a written statement which establishes a specific outcome which will significantly advance one or more goals of the community focal point.

ORIENTATION - acquainting a new staff member with center purposes, goals, objectives, structure, policies, procedures, etc.

OUTREACH - effort needed to locate, inform and persuade persons to become participants in a given program, including any special assistance which meets their particular needs.

OUTSTATIONED STAFF - one agency places its personnel in another's facilities, while retaining administrative control.

PARTICIPANT RECORDS - those records containing personal data about participants and statistical and narrative descriptions of the participants' involvement in the community focal point program.

PERFORMANCE EVALUATION - assessment of results in achieving position goals and objectives.

POLICY - an official or prescribed course of action.

PROCEDURE - a method used in dealing with a task.

PROGRAM LINKAGES - connecting mechanisms by which two or more independent agencies cooperate to provide services or improve service delivery.

PROGRAM RECORDS - those records containing statistical and narrative descriptions of the community focal point program components and general operations.

PURCHASE OF SERVICE - formal agreements that may or may not involve a written contract between the focal point and some other party or among agencies to obtain or provide service; generally a fee-for-service arrangement.

REFERRAL - directing an older person to another agency when needed services can be provided better there.

RECORD KEEPING SYSTEM - an arrangement for collecting, organizing, and retaining data for ease of retrieval and for use in planning, evaluating and reporting purposes.

RESOURCES - means for implementing program objectives, such as staff, funds, time, space and equipment; also staff and programs of other community agencies.

SENIOR CENTER - a community-based agency which provides activities and services for use by older persons and serves as a resource on aging for the community.

SENIOR CENTER STANDARDS - a set of guidelines for good practice in senior center operation, developed by the National Institute of Senior Centers for voluntary use by senior centers.

STAFF - all persons, paid and volunteer involved in a senior center or providing its program.

STATE UNIT ON AGING - an agency of state government designated by the governor and the state legislature as the responsible office for all matters relating to the needs of older persons within the state.

SUA - State Unit on Aging.

SUPERVISION - responsibility for and direction of the work of another.

TRAINING - learning activities designed to assist employees to acquire knowledge and skills needed to perform at an acceptable level in their jobs.

VOLUNTEERS - individuals who perform tasks related to the governing or the operation of a community focal point without receiving pay for their work.

APPENDIX

APPENDIX I

MANAGEMENT

APPENDIX I-A	Levels of Decision Making
APPENDIX I-B	Select Your Leadership Style
APPENDIX I-C	A System of Management: Translating Managerial Functions to Program/Project Activity
APPENDIX I-D	Focal Point Management
APPENDIX I-E	Example of a Format for Evaluating Objectives
APPENDIX I-F	Development of an Action Plan
APPENDIX I-G	Criteria for Selecting the Best Approach
APPENDIX I-H	Evaluation
APPENDIX I-I	Delegation for Success
APPENDIX I-J	The Art of Constructive Criticism

LEVEL	AREAS OF RESPONSIBILITY
1. The board of directors or the administrator (by delegation from the board)	(a) agencywide policy decisions (b) selection of a director (c) determinations of basic program direction with input from the community agency serves, the board or advisory board, and the staff
2. The administrative group (composed of designated members of each program unit, usually those with responsibility for major program supervision)	(a) recommendations concerning coordination of services (b) new service recommendations to the board of directors or the administrator (c) preparation of proposals to various segments of staff
3. Ad hoc agency committees (elected by the program units to deal with specific agencywide issues)	(a) staff recommendations to the board of directors or the administrator (b) inservice training content (c) budget review for priorities (d) personnel practices such as regulations, and salary recommendations to all staff and the board of directors
4. Program units	(a) program changes within a unit (b) staff schedules (c) intake into unit (d) transfer, referral, and discharge from a given service (e) budget decisions for the unit (f) changes in use of staff and in staff patterns (g) unit routines and rules
5. Cross-unit staff	(a) exchange or sharing of staff for special team projects (b) some kinds of inservice training that may pertain to specific disciplines, programs and so forth.

Appendix I-B

Select Your Leadership Style

These leadership styles are not inherently positive or negative. A person could incorporate any one of these styles depending on personality and situation. It is not implied that the focal point manager choose one style only. While the quiz and diagram in this appendix may help you to think about your own personal leadership style you may want to pursue your interests further by reading literature listed in the bibliography for Unit One.

Leadership Style Quiz

Mark a cross over the letter in parenthesis that best describes you.

DOMINANCE

I belong to several groups but only attend when something especially interests me. (c)

I like to work on committees but don't like to take the chairmanship. (d)

I lose interest in groups when they go along in the same old rut and don't listen to my suggestions. (a)

I consciously seek, and obtain, leadership in many of my groups' activities. (b)

I am often selected as leader of groups without seeking it. (e)

TACT

People frequently misunderstand my comments. (a)

My acquaintances tell me that I am noted for handling many difficult situations without arousing ill will. (c)

People seldom resent it when I must correct what they are doing or must criticize them. (d)

I consciously study how to handle people tactfully. (e)

Before I try to get others to accept my point of view, I first try to find out how they feel so I can adapt my ideas to theirs. (b)

COMMUNICATION

I always assume the other person will be friendly and take the initiative in meeting him more than halfway. (e)

People tell me they come to me with problems they wouldn't even discuss with their own families. (d)

I always try to give the other person some incentive or some reason for doing what I want done. (b)

When a conversation lags at a party of strangers I try to fill in the break by trying to find a topic of general interest. (c)

I have some definite ideas about the failings and follies of the younger generation and don't hesitate to express them. (a)

MATURITY

I want what I want when I want it, regardless of consequences to myself or others. (a)

I frequently let others have the last word. (e)

I have been told that I can take well-meant constructive criticism graciously. (d)

I believe in telling others the truth if it is for their own good (b)

I take a stand on issues in which I believe even if they are unpopular after looking into the pros/cons. (c)

ATTITUDES

I get annoyed when people don't do things my way. Sometimes my temper gets the best of me. (a)

I try to show the attitude toward the other person that I want him to show me. (b)

I believe I should make every effort to accept change and try to keep changing with the times. (e)

I patiently listen to people with whom I disagree. (d)

I vacillate when it comes to making a decision; sometimes I wait so long circumstances force a decision. (c)

COOPERATION

When people have a misunderstanding I try to intervene and reconcile them. (d)

In dealing with co-workers, I try to put myself in their shoes and act toward them the way I'd like them to act toward me. (c)

I am willing to accept the help of others, provided it does not interfere with their work. (e)

When I want information from others, I feel I have a right to demand it because I am acting on behalf of my boss. (a)

If my boss says to me, "Tell So-and-So I want this right away," I change both his message and voice tone to, "The boss would appreciate this as soon as possible." (b)

SCORE

It is most desirable for you to arrive at a final decision on your choice of response in every case. However, if in one or two instances you found this choice expecially difficult to make, add up your score based on the second choice, in the second column.

	First Choice	Second Choice
Number of a's		
Number of b's		
Number of c's		
Number of d's		
Number of e's		

This is your predominant style

You have tendencies in this direction

KEY TO LEADERSHIP STYLES

Person Centered			Group Centered	
Authoritative	Political	Evaluative	Participative	Laissez-faire
a	b	c	d	e
TELLS	SELLS	TESTS	CONSULTS	JOINS

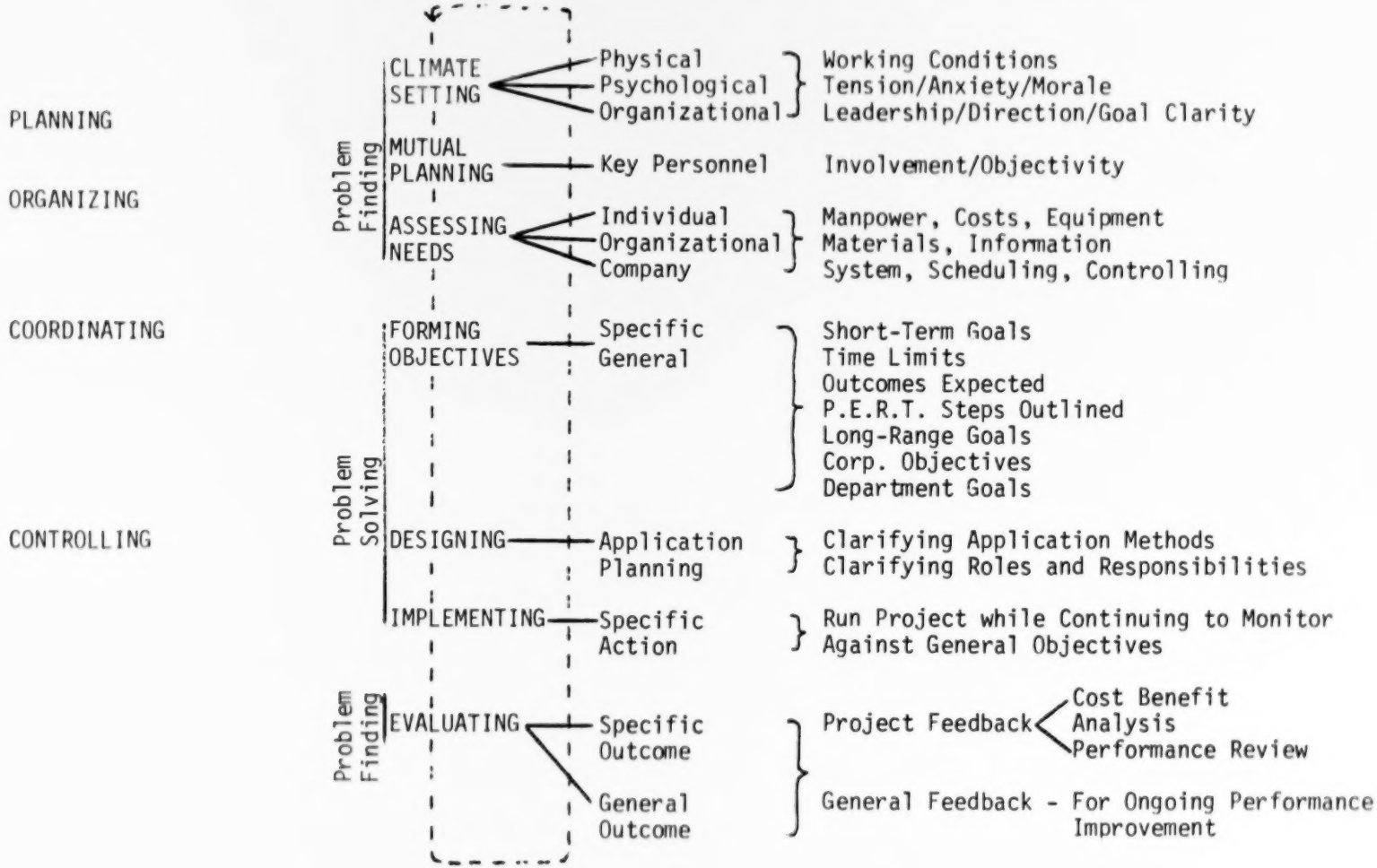
This diagram relates different kinds of leader behavior to different balances of power between leader and members. Behavior at the left of the scale might be called "leader-centered" because the decision depends largely on the leader's analysis of the problem, his interests, experience and motivations. Behavior on the right end of the scale might be called "group-centered" because the actions reflect the group members' assessment of the problem, their interests, experience and motivations.

Source

Adapted from materials used by Leadership Resources, Inc. and the American Management Association

A SYSTEM OF MANAGEMENT

Translating Managerial Functions to Program/Project Activity



A Trainers Guide To Andragogy. HEW, Washington, D.C., revised May 1973.

	PLANNING	ORGANIZING	STAFFING	DIRECTING	CONTROLLING
Unit Managers	Developing goals, objectives and plans for the particular unit of the focal point, consistent with the goals of the focal point.	Determing tasks to be completed to achieve unit objectives. Developing proposed position descriptions for director's review and approval.	Recommended individual staff members for positions in the unit; providing orientation and training, tools and other needed resources.	Delegating to individual employees the responsibility and authority to carry out their jobs. Motivating and maintaining communication with the individual employees. Establishing procedures for the work of the unit.	Assessing the work o individual staff members and measuring performance against unit objectives. Reviewing performance and recommending promotions and raises.
Individual Employees	Developing individual plans for carrying out assigned work on schedule. Participating in unit planning or suggesting ways to improve operation.	Identifying tasks to be done and grouping them for optimum efficiency and effectiveness.	Identifying and requesting the necessary tools, training, resources to do the job; attending orientation and in-service training.	Managing one's own performance responsibly with accountability to unit manager or supervisor.	Measuring one's own performance against accepted plans and objectives for the unit.
Service Users/Clients	Identifying needs and concerns; suggesting needed services. Helping determine service goals and objectives. Helping determine purposes and goals of participant organization. Suggesting needed policies for the focal point.	Approving structure and bylaws for participant organization. Cooperating with the structure developed by the focal point's board and administration, e.g. using communication channels.	Volunteering for staff work to implement program or operation. Volunteering in community as extension of focal point program. Serving as officer or committee member of organization. Electing officers for participant organization. Participating in focal point operation	Identifying for staff specific places and individuals needing service from focal point, including own unmet needs. Helping staff to carry out their work.	Assessing and evaluating focal point services and operation formally and informally, especially against one's own needs.
Non-Users	Identifying needs and concerns not now addressed by focal point's services or by other community agencies. Suggesting needed services and/or policies to make focal point more usable.	Supporting on-going life of focal point to assure its existence when needed in the future.	Volunteering for staff work in focal point. Recommending focal point as prospective employer.	Identifying for staff (e.g. outreach workers) ways focal point could meet non-user's needs.	Providing specific feedback as to why non-user does not use focal point services and activities.

Adapted from Senior Center Administration, Participant's Manual, NCOA, Washington, D.C., 1977

EXAMPLE OF A FORMAT
FOR EVALUATING OBJECTIVES

Objectives	Criteria					
	# of persons affected (weighted score)	Intensity ( )	Probable Success ( )	Impact ( )	Sequence ( )	Other ( )	Total Weighted Scores
a_____							
b_____							
c_____							

Appendix I-F

Development of an Action Plan

Action steps describe the most important tasks which must be accomplished by a specific time or in a specific sequence in order to achieve the objective.

Action steps are written using the same kind of language used in formulating objectives; they generally include a strong verb, single aim, single end product, and completion date. Specifically, a statement is an action step if it describes a task that is:

Critical to the accomplishment of the objective. In other words, if the task were not completed, the objective could not be achieved. Consider, for example, the following objective and the the action step which follows it.

> OBJECTIVE: By June 30, 19__, to have in operation a transportation service that will operate for one year to transport approximately 100 persons daily to two nutrition sites in X County.
>
> ACTION STEP: By January 31, 19__, to award a grant to an agency or organization to provide the transportation service for a specified cost per service unit.

Identifiable when completed. The end result of the action step must be an observable product, such as a signed agreement, a meeting held, a service in operation, or a written report. An observable product is essential because action steps are the major decision points of the monitoring process. Therefore, the Director must have a tangible product to determine if he/she is on the way to achieving the objective. For example, "to encourage an agency or organization to sign a contract" is not an appropriate action step, for it would be difficult to determine if "encouragement" had been accomplished.

Essential to the next step. This criterion follows from the fact that action steps are indeed identifiable steps rather than on-going processes. It is quite possible, however, that two (or more) action steps may occur simultaneously. This situation will arise when several action steps are all essential to a subsequent action step. Assume, for example, that in implementing the transportation service objective, we wished to conduct a one-week pilot test transporting 50 people. Before that step could be accomplished, it would be necessary to both obtain a grantee and to locate the persons to be transported. Both of these actions would occur simultaneously, although each would be written as a separate action step for the reason given in the following paragraph.

Related to a single product or result. For example, "to sign a written agreement and to locate target neighborhoods by March 1 19__," is not an appropriate action step. If more than one result were specified, but only one accomplished, it would be difficult to determine to what extent the step had been achieved.

Assigned to an individual for completion. Assignment of staff members to action steps is essential because it pinpoints responsibilities. Final assignments are usually made when the action steps are displayed on time tables, but the manager will need to make preliminary assignments as objectives and actions steps are developed.

Techniques for Determining Action Steps

Several approaches are useful to identify the action steps that will be taken to achieve the objective:

Using the backward-chaining approach, the planner starts with the final result to be achieved (the objective) and identifies the action steps by asking: What must happen just before that result is achieved, then just before that,..." until the present start-up date is reached. For example, if the objective were to "write a report by the end of the fiscal year presenting the results of a consumer survey of 2500 older persons in the State," the following tasks (listed in reverse order) might be identified by the process of backward chaining:

(1) write the report:
(2) process data via computer;
(3) conduct interviews with respondents;
(4) train interviewers;
(5) write final form of questionnaire;
(6) write data analysis plan;
(7) write sampling plan;
(8) formulate issues to be answered by survey.

Once these major tasks had been identified, they would be written in objective-type language to complete the formulation of the action steps.

Using the forward chaining or directed research process the planner begins with what appears to be an appropriate first action step and asks: "what happens if I do that? What must I do next, then just after that," and so on until the objective is reached.

Action steps may be formulated by considering the resources necessary to achieve the objective. For example, to complete the consumer survey requires interviewers, questionnaires, and the sample selection of individuals to interview. Developing an operational bus service requires buses, drivers, passengers and a routing plan. A list of resources, then, can suggest the necessary action steps.

Assistance in determining action steps may be available from advisory groups, experts, other organizations with similar objectives, or last year's plan.

While the precise number of action steps is dependent upon the particular objective for which they are written, 6-12 action steps will usually be required for each annual objective. If only three or four action steps are written, the planner should determine whether the idenified steps are actually too complex for effective monitoring. If so, they should be subdivided. Or, if only a few action steps are actually required, the objective itself may actually be part of a larger effort, which should, therefore, become the state objective.

On the other hand, if a great many action steps are written, the first question is whether or not some of the action steps are actually activities incorporated into other action steps. If the large number is jestified, the planner may actually consider dividing the effort into two objectives.

In summary, when a very small number or a very large number of action steps have been written for an objective, they should be reviewed closely to determine if they are appropriate.

Source

Adapted from Objective Setting and Monitoring, A Reference Manual, Kirschner Associates, Inc. for AoA, OHD, DHEW, 1975, pp. 73-78.

CRITERIA FOR SELECTING THE BEST APPROACH

Scoring System 5 - Excellent 4 - Very Good 3 - Good 2 - Fair 1 - Poor ALTERNATIVE APPROACHES	What are the chances of success?	What is the feasibility in terms of available resources?	How well will it work with other agencies?	How appropriate in terms of time available?	How effective in terms of meeting a high percentage of total need?	How appropriate to historical and legal functioning of the agency?	How appropriate to personnel capabilities of the agency?
Approach A							
Approach B							

Appendix I-G

Appendix I-H

Evaluation

Evaluation is an integral part of the community focal point's planning process. For planning to be fully effective, evaluation must be designed along with operations and program, so that usable information if fed back into the process. Effective evaluation can provide information about progress toward achieving a focal point objective, as well as after-the-fact assessment of success or failure. Evaluation data may also be fed into new planning, so that past experience becomes a basis for more effective planning.

Decision Making Basic

Evaluation in a community focal point is not necessarily a highly sophisticated process. It is basically a matter of making decisions before, during and after experiences. People do it every day. They decide what they like and dislike, what they will or won't do, what works, what could work better and what doesn't work. As a part of planning, an evaluation process helps the focal point to make two kinds of decisions. First, selecting the criteria by which attainment of the focal point's objectives can be measured leads to decisions about what activities will be carried out. Care must be taken not to limit the choice of activities in the focal point to those which can be easily measured or those which will produce easily measured outcomes. Second, while a program is under way or after it has been completed, evaluation data can be used to make a decision about the degree to which the objectives are being or have been attained. Evaluation can also contribute to decisions about continuing, repeating, expanding or terminating a program or operation.

Planning for Evaluation

Most often, evaluation is concerned with measuring success in achieving focal point goals and objectives. In order to be effective methods of evaluation must be planned in advance. It is important to know how evaluation data will be used before information is gathered. Planning for evaluation involves formulating objectives, identifying the criteria to be used in measuring success, measuring the behavioral changes or outcomes according to the criteria and recommending the next staps on the basis of this information. The next steps may include changing methods, revising the objectives or even reassessing goals and basic purposes. Figure 1 illustrates the evaluation process and its relationship to planning.

Evaluation is a major responsibility of the board and the focal point administrator, an obligation that includes insuring that the process is implemented on a regular basis and that the appropriate individuals-including participants-are involved. Participants should be actively engaged in both the planning and evaluation processes, particularly when these processes focus on programming. Since participants represent the group for whom the programs are directed, their judgments regarding the need for the effect of specific programs are essential.

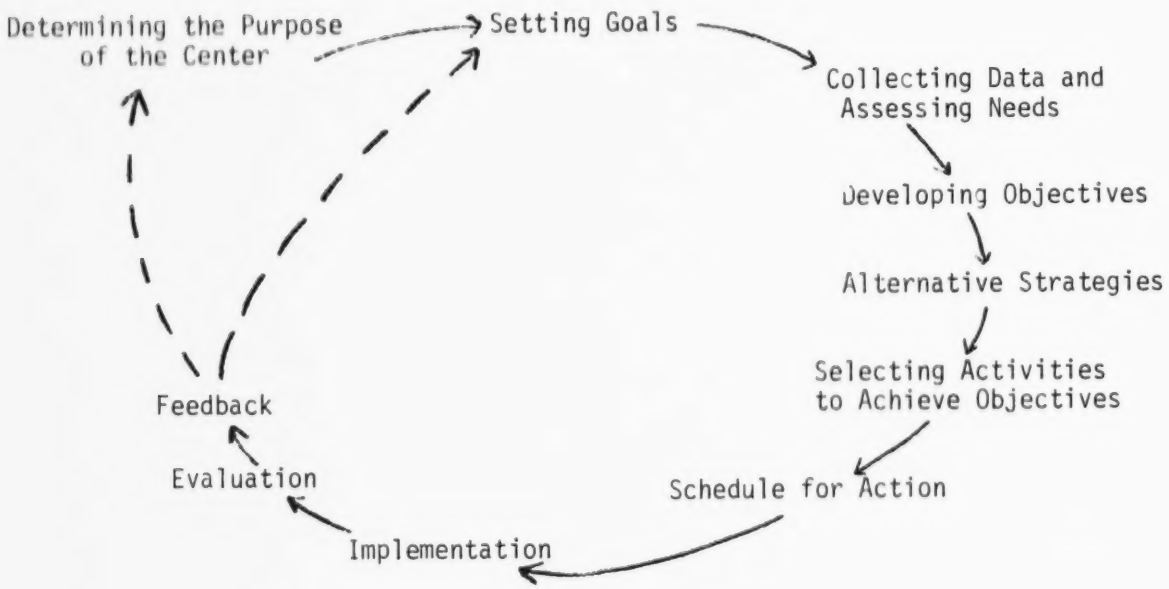


FIGURE 1
A PLANNING AND EVALUATION MODEL

It is important to be sure that the criteria for evaluation are related to the objectives being pursued, and that the criteria are agreed on by those who will use them. It is not always possible in evaluating programs in a community focal point to establish objective criteria. Subjective judgments may be called for-and may be appropriate. Agreement in advance about criteria is still important.

The purpose for which the information is gathered will influence the complexity of the study, the methods used and how the information is interpreted. Evaluation need not be carried out as a technical, scientific study; it can be based on opinions and observations. Information may be gathered through questionnaires, interviews, examinations, observation or a combination of these methods. Depending on the purpose of the evaluation, data may be gathered from participants, their families, board members, staff, volunteer, staff of other agencies serving the same group and the community at large. Assistance in designing evaluation methods may be obtained from community agencies, nearby colleges and universities.

Community focal points pursue multiple objectives. Evaluation plans should also provide for assessing the impact of achievement of one objective on the total program and general purpose of the focal point. Resources are usually limited and must be distributed toward achievement of all goals and objectives. An overemphasis in one area of the focal point's programs may lead to underemphasis in another. Too much attention to one part of the operation may actually reduce the total effectiveness of the community focal point.

Purposes of Evaluation

A community focal point may undertake an evaluation of its operation or program to:

- o Satisfy requirements of accountability:
- o demonstrate to the board or to a funding source that a program is worth while and should be continued;
- o determine whether a particular program or the entire focal point program is moving toward the achievement of stated goals;
- o determine whether the needs which led to the establishment of a program (or the focal point itself) are being satisfied;
- o support plans for expansion or cut back of services;
- o compare different program or operating methods in terms of their relative effectiveness;
- o assess the cost of a program or procedure in terms of the use of human or financial resources in comparison to output or results achieved.

An individual staff member may undertake evaluation for reasons of his/her own to:

- o Satisfy requirements of accountability:
- o satisfy a need to know the effectiveness of the work of a program for which he/she is responsible;
- o justify a larger budget or staff for the program;
- o find ways to make the job easier or more interesting;
- o gain status or acceptance from peers and superiors;
- o justify promotion.

Types of Evaluation

There are four basic types of evaluation which may be applied to any program or operation of a community focal point:

EVALUATION OF PROCESS. Comparison of the practices of the program against some agreed-on standard, or simply the recording of data about the program. This type of evaluation is concerned with such things as:

- o Counting attendance at a program;
- o counting meals served in the dining room;
- o measuring increase or decrease in attendance over a series of events;
- o determining the percentage of possible participation actually achieved;
- o comparing a bookkeeping system to an accepted standard;
- o reviewing whether all the parts of a program were completed in the allotted time.

EVALUATION OF OUTCOME. Assesses the results achieved by a program or operation, such as:

- o The number of persons referred to other agencies as the result of an information and referral program or a screening program;
- o the number of persons who had newly registered to vote at the end of a program series on political responsibility;
- o the number of persons who have acquired a new skill as the result of an educational or craft program;
- o the number of new regular participants after the first (or other measure of time of a new volunteer program to encourage participation).

EVALUATION OF IMPACT. Measures a program in terms of its contribution to solving the problem or meeting the need that led to establishment of the program, such as:

- o Determining the amount of change in the incidence of malnutrition and poor eating habits among participants in a focal point program on nutrition and meal planning;
- o assessing whether participants who use the minibus service to the supermarket are able to stretch food dollars and eat better on a fixed income;
- o measuring the effects of a health exam and screening service on the health of participants using agency services at the focal point;
- o determining whether a particular social activity is helping participants to make new friends and reducing their social isolation.

EVALUATION OF EFFICIENCY. Analysis of a program or service on the basis of cost. This is concerned with such matters as:

- o Determining which program method or office procedure will achieve the desired outcome at the lowest cost;
- o comparing the cost of a unit of service (e.g.,a meal provided or a counseling session) against the income available to pay for it (whether from fees, grants or other funding).
- o comparing the cost of a unit of service against varying numbers of persons served to determine whether the cost can be lowered if more or fewer persons are served.

Principles of Evaluation

To assure that an evaluation process produces usable information, several principles should be followed:

- ° The objectives of the program or operation should be stated as clearly as possible. Without some understanding of desired outcomes, it will be difficult, perhaps impossible, to determine whether the objectives have been achieved and to what extent.
  The assumptions which underlie the objectives should be tested for validity. Will the objectives, when achieved, contribute to the attainment of the basic goals which have been established?
  Evaluation of process should be apart of any program undertaken. Whenever possible, evaluation of outcome, of impact and of efficiency should also be planned and carried out.
- ° The results of evaluation should always be fed back into the planning process. There is little value in evaluation unless the results are used to enable the community focal point to improve the ways in which it carries out its purposes.

Source

Leanse, J., Tiven, M., Robb, T., Senior Center Operation: A Guide to Organization and Management, Washington, D.C.: National Council on the Aging, Inc., 1977.

Appendix I-I

Delegation for Success
by Gladys W. Hudson

Delegation is widely recognized as a vital managerial skill, but is less than universally practiced. Many women sabotage their careers by their inability or failure to delegate.

Why Delegate?

1. To use time effectively. Delegation frees you to tackle more important jobs- to plan, to set goals, or go track the progress of your department or work unit. Delegation multiplies your productivity.

2. To save money for the organization. Figure what an hour of your time costs your organization compared to that of your subordinates. Every task you delegate to one of them represents a substantial cost saving.

3. To help subordinates grow. People who are growing are more productive. People who are learning gladly accept increased responsibility. When you have subordinates who are capable of taking over all of your work, you are available for promotion to a higher level with no threat to the organization's continued smooth operation.

When To Delegate

1. When the work is routine. Delegate any task that is done repeatedly in the same way.

2. When detail is readily available. Any job for which needed detail is available to someone else is a possibility for delegation.

3. When there is an available learner. If some one who is capable of learning and performing a task is willing to accept responsibility for it, the task can be delegated.

Attitudes

Like other managerial skills, the ability to delegate effectively begins with attitudes. The evaluation instrument provided here will help you discover any attitudes that might be hampering your ability to delegate. Respond thoughtfully to each statement by circling the number on the continuum which you believe most nearly describes the degree to which the statement is true for you.

	Exactly like me						Nothing like me
1. I must know all the details about the work in my unit so I can answer any question my superior asks without any hesitation.	1	2	3	4	5	6	7
2. I must be in control of myself and my work at all times	1	2	3	4	5	6	7
3. I expect perfection of myself in everything I do.	1	2	3	4	5	6	7
4. I feel productive in my work only if I am constantly pushed to meet deadlines and get out the work.	1	2	3	4	5	6	7
5. I would feel insecure if I were promoted today.	1	2	3	4	5	6	7
6. I am bogged down in endless details.	1	2	3	4	5	6	7
7. There is so much day-to-day detail in my job that there is not time for planning or long-range goal setting.	1	2	3	4	5	6	7

	Exactly like me						Nothing like me
8. I work harder than anyone else in my department.	1	2	3	4	5	6	7
9. No one else can do the job as well as I can.	1	2	3	4	5	6	7
10. No one else cares enough to do the job well.	1	2	3	4	5	6	7
11. I can't trust anyone else to keep the work confidential.	1	2	3	4	5	6	7
12. If I ask my subordinates to take some of my work, they will resent it and not like me.	1	2	3	4	5	6	7
13. Other managers, perhaps even my superior, will think I am not working hard enough if I try to get rid of some of my work.	1	2	3	4	5	6	7
14. If I delegate some of my work to others, my boss will think I am no longer needed.	1	2	3	4	5	6	7
15. My subordinates are out to get my job.	1	2	3	4	5	6	7
16. My boss expects me personally to do the work he assigns me.	1	2	3	4	5	6	7
17. I supervise every step of the work done by my subordinates.	1	2	3	4	5	6	7
18. I personally check all the work done by each of my subordinates.	1	2	3	4	5	6	7
19. I am the first person here in the morning and the last to leave at night.	1	2	3	4	5	6	7
20. If I am not willing to do my share of the work, I can't expect my subordinates to do theirs.	1	2	3	4	5	6	7
21. I won't ask someone else to do something I am not willing to do.	1	2	3	4	5	6	7
22. I can't take a vacation this year because my department would fall apart without me.	1	2	3	4	5	6	7

Look over the responses you made to each statement in the evaluation instrument. Low numbers indicate attitudes that block effective delegation. High numbers show greater ability to delegate.

Attitudes that make delegation difficult may involve a low self-image. If you feel insecure yourself, it is also difficult to trust others and to believe that they can be productive. Some attitudes that impair your ability to delegate may be directed toward others. If you recognize that these attitudes may be unrealistic, you may be better able to ask others to accept responsibility.

Fortunately, attitudes can be changed. Attitudes are merely habits of thought, and habits are developed by repetition. You can make a conscious choice to choose new thoughts, repeat them often until they become habits, and then reap the benefits of new managerial skills.

Many of your attitudes were established years ago. You are a different person now. You have learned and grown. Perhaps some of the jusgements upon which you built attitudes were incorrect. Replace outmoded attitudes and move on to new, more productive ones. A goals plan form follows. Use it, adapt it to your needs, and set new goals for delegation whenever your complete one goal.

My Goal For Delegation

Use this plan to set a specific goal for using delegation in your work. Writing out your plan produces commitment.

I will delegate this task: _____

I will delegate it to _____

Steps for teaching the work:	Target date for each step
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____

Tracking progress:

Date Accomplished	Event
_____	Tell the person about my plan.
_____	Teach the skill.
_____	Observe performance.
_____	(Continue supervision until performance is satisfactory)
_____	Tell the person you are turning the task loose but are available for help if needed.

Benefits of achieving this goal

How I will feel about myself _____ A new responsibility I will accept _____

How I will use the time created _____ Other benefits _____

Source

Executive Female, September/October,1980, 28A, 28C.

Appendix I-J

THE ART OF CONSTRUCTIVE CRITICISM

A. Why Others Ask For Criticism

1. Do they really want reassurance and approval or confirmation of what they are to do?
2. Do they really want an honest opinion?
3. Do they expect to be evaluated anyway and ask for the evaluation before they receive it?
4. Can they accept recommendations for change? Can they accept possible failure?

B. Always State Criticism in Clear and Absolute Terms

1. You must control distasteful criticism.
2. Listen respectfully to the defenses and complaints offered.
3. Don't avoid the problem and never criticize--if you leave it to your staff to read your real reactions, they may read you wrong.
4. Give staff all the information they need to know to improve their performance.
5. Make your criticism objective and free of personal feelings.

C. Fourteen Guides For Effective Criticism

1. Don't waste your time.
   (a) if you don't admire your staff's strengths, don't waste time by trying to improve their deficiencies

2. Pick the time carefully.
   (a) criticize in the morning, at the beginning of the week--this will enable you to talk with the staff member later in the day or week

3. Be involved.
   (a) make them the object of your attention--go to their work area--make them the most important thing on your mind

4. Know the target.
   (a) know what kind of person you're going to criticize--receptive? defensive?
   (b) use reassuring suggestions

5. Take one point at a time.
   (a) don't over-criticize--too much is very destructive
   (b) by concentrating on one point they are better able to determine what to do

6. Keep it private.
   (a) public criticism can be harmful--something they may never forget

7. Criticize constructively.
   (a) be specific--equip staff with the needed information to improve

8. Never say "always".
   (a) it's exaggerating--it distorts the fault

9. Face facts squarely.
   (a) don't use the "sandwich technique" of praise and criticism--starting with a compliment, criticizing and ending with a compliment
   (b) say the negative things first and end with positive things--this will begin the healing process

10. Don't make a joke of it.
    (a) could sound sarcastic
    (b) play it straight so the problem isn't treated lightly

11. Attack the act.
    (a) direct the criticism to what can be done, rather than to the person
    (b) attacking a person's self image can create damaged feelings

12. Recognize your own power.
    (a) be sure to recognize your own needs--they can influence your power over staff

13. Criticize without comparison.
    (a) don't compare their past performance with others--show staff how they can do better

14. Don't expect popularity as an umpire.
    (a) your job is to be respected--not to make friends

D. Why Managers Can't Avoid Criticism

1. You are accountable for your staff and their performance.

2. You owe it to your staff to criticize them and show them how to improve.

Adapted from Effective Psychology for Managers,
Mortimer R. Feinberg, Ph. D., Prentice-Hall, Inc., 1965

APPENDIX II

DEVELOPMENT OF A COMPREHENSIVE SERVICE DELIVERY SYSTEM

APPENDIX II-A	Actors in Community-based Planning
APPENDIX II-B	A Community Worker's Guide to Helping Things Happen in a Community
APPENDIX II-C	Local Coalitions: Cooperation and Coordination Between Senior Centers and Other Aging Service Providers
APPENDIX II-D1	Organizations and Agencies in Rural Communities
APPENDIX II-D2	Organizations and Agencies in Urban Communities
APPENDIX II-E	The Linkage Chart
APPENDIX II-F	Interagency Coordinating Committee Formal Working Agreement

Appendix II-A

Actors in Community-based Planning

Legitimizers

In almost every community, or every social system, there are certain individuals or groups whose approval or acceptance of proposed projects is necessary to make things "legitimate." They put the stamp of approval on an idea.

Legitimizers have a reputation for doing things that are good for the community. Sometimes they are an informal group of three or four; sometimes a formal group such as a church, Chamber of Commerce, or public officials. They are people whose opinion is respected by others.

The focal point manager usually take the need or problem to the legitimizers and ask them to pass judgment on it. At this stage, the initiators are talking about a need, not a solution. The legitimizers give sanction that the need exists, and that it is worth doing something about.

Legitimization is the giving of sanction by key persons or key groups which leads to public acceptance of an idea. The ultimate legitimizers of any idea are the people themselves, but before the idea gets to them, it is wise to obtain the "stamp of approval" from these key people or groups. To by-pass this step usually spells failure!

The Diffusion Set

After an idea has been "legitimized," it is ready to be moved on to the diffusion stage.

Remember that, to this point, staff members from the focal point have talked about the need, and four or five key people or groups--the legitimizers--have "okayed" the need.

Both the focal point and the legitimizers have defined it as a need worthy of action. Now we are ready to see if the general public will define the need. The diffusion set takes the need or idea to the public. Careful consideration should be given to the selection of those to serve as the diffusion set. How people feel about the diffuser will affect how they feel about the need. Diffusers should be good salesmen, with the zeal of a missionary and the dedication of an educator. The "idea people" may not necessarily be the best people to convince others that a problem exists. The diffusion set should be recognized by the public as action leaders!

Source

Adapted from Helping Things in a Community, Family and Community Support Service Unit, Alberta, Canada.

Appendix II-B

A Community Worker's Guide to Helping Things Happen in a Community

Overview of the Process

Phase of the Process	Focus of Attention	Major Tasks During this Phase
Entry Phase	Existing situation	- to learn what the situation is (prior history, social systems) - to introduce the worker to the situation
Needs Assessment Phase	Awareness of need	- to gather many perceptions of the need - to gain sanction of the need - to gain widespread acceptance of the need by the public - to gain commitment to action
Planning Phase	Preparing response to the need	- to explore and choose methods of responding to the need - to acquire necessary resources - to gain acceptance of the proposed solution(s)
Implementation Phase	Action	- to carry out the plans
Evaluation Phase	Assessment/ rejuvenation	- to evaluate what went wrong and what went right - to determine what has been learned - to foster self-renewal among those who have been involved - to re-examine the new existing situation

Source

Helping Things to Happen in a Community, Family and Community Support Services Unit, Alberta, Canada.

Appendix II-C

Local Coalitions: Cooperation and Coordination Between Senior Centers and Other Aging Service Providers

As the senior center concept has gained acceptance and more and more centers have been established in communities across the nation, local aging professional associations, coordinating councils of senior centers and other aging service coalitions have also emerged.

Senior centers still operating independently of or even in competition with neighboring centers and/or other multiservice providers are all too likely to encourage duplication of services, competition for new members/participants or services and, in some cases, hard feelings and ill will among service providers. Increasingly, local coalitions of service providers and older persons are being organized to develop aging services and activities. Senior centers have discovered that working together at the the community level for their mutual benefit results in a whole that is more than the sum of its parts. Through cooperation, the centers have been able to vastly enrich their activities and services for older persons--far beyond what each might have achieved independently.

The following case studies exemplify coalitions that have sucessfully allied aging service providers, who jointly develop a comprehensive system of services and activities for older persons in the community.

SNOHOMISH COUNTY, WASHINGTON. Five multipurpose senior centers are recognized by the Snohomish County Area Agency on Aging (AAA) as integral components of the county's aging network. During the past six years, the AAA and the centers have developed a series of cooperative efforts.

Each of the centers (four private, nonprofit agencies and one city-operated) provides a variety of social, health and recreational services to older persons in its designated service area. The service areas and the senior center standards under which the centers operate were developed jointly by the center directors and committees of the AAA advisory council.

In addition to their own wide program of services and activities, each center is a site for information and assistance, nutrition, transportation and selected other services funded by the Federal Older Americans Act and the state Senior Citizens Services Act. One center is also the AAA contractor for a countywide health screening program.

On a formal basis, communication and cooperation is enhanced by the center directors serving as ex-officio members of the AAA advisory council. On a more informal basis, AAA staff and center directors have quarterly breakfast meetings to share ideas, information, gripes and concerns. These meetings are in addition to a monthly meeting of center directors and staff from Senior Services of Snohomish County (the provider of many of the countywide services collocated at the centers).

Though the AAA has delayed formal designation of community focal points until it completes a study of senior centers in 1982, the five multipurpose senior centers are natural, acknowledged focal points for older person services in Snohomish County.

CLACKAMAS COUNTY, OREGON. As a result of discussions between local senior center directors and AAA staff and advisory council members, a Multipurpose Senior Center Development Committee of the AAA advisory council was established in 1978. The committee's purpose is to make recommendations to the area agency advisory council regarding funding, development and operation of multipurpose senior centers.

The committee, which meets monthly, is composed of the directors of area senior centers, the coordinator of the county's Title VII nutrition projects and

consumers of center services (51 percent of the membership). The committee completed a survey of area senior centers to determine priorities for future center location. It made recommendations pertaining to services that could/should be made available through centers and to funding for existing and developing senior centers. It has also provided technical assistance to communities attempting to establish centers.

The committee continues to provide a forum for open discussion and resolution of issues relating to senior centers, plus maintaining a linkage between centers and the AAA.

NEW YORK CITY. In December 1978, Vacations and Senior Centers Association (VASCA), an umbrella agency for New York City centers, initiated a Senior Center Cluster Project. The project was based on the following assumptions:

- Senior centers and nutrition programs are hampered by gaps in local services and bureacratic roadblocks.
- Funding agencies prefer dealing with coalitions rather than with individual agencies.
- Much can be achieved by centers that pool their resources for joint projects.

Funded by a small grant from the Florence V. Burden Foundation, the objectives of VASCA's one-year project were to: 1) stimulate mutual aid systems and coordinated planning among two large clusters of multipurpose senior centers (one in Brooklyn, the other in Queens) in order to improve local service networks; 2) determine how minimal staff assistance can help clusters of centers to pool their resources, create needed services through concerted action and improve delivery of existing services needed by individual center participants, and 3) make athe project experience available to supervising city agencies as well as to local and national planning groups concerned with strengthening centers.

As part of the project, VASCA convened meetings to review local needs and resources, choose action targets and formulate plans for cooperative endeavors; provided technical assistance to search out and mobilize resources; obtained specialized experts when needed to implement plans; tracked legislative and administrative changes affecting alder person entitlements; resolved bureaucratic provlems that blocked access to service, and produced materials and facilitated priorities of clusters.

Though some major problems were encountered in establishing and maintaining the clusters, the project was largely successful in accomplishing its objectives. Several Brooklyn cluster participants commented that, despite a beginning sense of diversity, they became aware that they had more in common with other cluster members than differences. In Queens, the project was credited with serving as a catalyst and a facilitator, with helping the group to broaden its perspective and avoid using meetings to "cry on each other's shoulders" because center directors were bogged down in operational crisis situations.

The project results precipitated VASCA's receiving second-year and third-year grants from another foundation to continue its efforts to provide consultation and assist clusters of centers to improve and expand existing services for older persons.

SEATTLE AND KING COUNTIES, WASHINGTON. Senior Services and Centers (SSC), founded by the King County United Way in 1967, is an umbrella agency that administers 13 local senior centers and provides direct services to older people. SSC typifies the growing number os senior centers that are clustering together under umbrella agencies.

The agency's governing body is a board of trustees of one representative from each senior center and nine at-large members. Decisions are based on what

will serve the greatest common good, with the emphses on cooperation, sharing and mutual assistance.

The board of each local center has full independence to plan its activities and services, set its own policies and prepare, monitor and revise the center budget. Membership in the SSC umbrella administrative agency results in the following benefits:

- the umbrella agency handles all bookkeeping
- monthly financial statements prepared for all senior center boards
- centers provided appropriate insurance coverage and legal counsel
- local CPA does annual audit of each program, with report sent to all agency funding sources
- retirement plan for all employees, with requirements and reporting related to the Employment Retirement Security Act of 1974 (ERISA)
- single source of communication for contract negotiation, monitoring and service data reporting
- uniform reporting requirements for senior centers, with the same definitions for each unit of service
- ongoing training and supervision of staff by SSC
- personnel policy manual and personnel practices in accord with current legal requirements and good management philosophy
- professional standards set for operation of all centers
- each center evaluated by outside evaluation firm
- training workshops for all centers' board members
- technical assistance to center directors (i.e., SSC prepares proposals for funding on center's request)
- additional services as available and when requested by local center board (i.e., nutrition)
- flexibility in meeting service requests (i.e., SSC assigns fulltime social worker and nurses to part-time assignments in individual centers, changing assignments according to center's needs)
- long-range planning process, involving center staff and board members
- services of other organizations that operate out of the centers. Smaller agencies, such as Community Services for the Blind, locate services within SSC's system of centers to avoid the expense of developing new outreach programs of their own.

SSC frees individual senior centers from the above responsibilities, thereby permitting staffs to devote themselves more fully to direct service provision. While maintaining independence, the centers have a guarantee of accountability and continued funding and are able to concentrate on their principal purpose--serving older persons.

Source

Information compiled by the NISC Local Coalitions Task Force, chaired by NISC Delegate Tim Simmons

Appendix II-D1

Organizations and Agencies in Rural Communities

Voluntary Sector

Churches and Religious Organizations
Fraternal Organizations
Colleges
Neighborhood Organizations
Civic Clubs
Youth Organizations
Aging Programs and Services
Farmers' Union and Other
Farm and Ranch Organizations

Public Sector

Mayors
County Officials
County Health and Welfare Departments
County Extension Services
Farmers' Home Administration
Youth Organizations, FFA, FHA and 4-H
County School Officials
Law Enforcement Officials
Military Bases
Community Colleges
County Hospitals
Social Security Administration
U.S. Forestry Service
State Parks and Recreation Departments

Proprietary Sector

Businesses
Nursing Homes
Newspapers
Taxi and Transit Companies
Utility Companies
Telephone Companies
Corporations
Physicians and Dentists
Lawyers
Philanthropists

Appendix II-D2

Organizations and Agencies in Urban Communities

Voluntary Sector

Social and Health Service Organizations
Social and Helath Consultant Organizations
Civic Clubs
Fraternal Organizations
Churches and Religious Organizations
Sororities and Social Clubs
Business Clubs
Professional Organizations
Retiree Organizations
Neighborhood and Civic Associations
Councils
United Way
Foundations
Hospitals
Legal Aid Society
Colleges and Universities
Aging Services, Programs and Organizations

Public Sector

Mayors
County Officials
County Health and Welfare Departments
County Extension Services
Social Security Administration
County and City School Officials
Transportation Departments
Metropolitan Planning Organizations
City/Enforcement Offices
Military Bases
Fire Departments
Civil Defense
Public Safety Departments
Parks and Recreation Departments
Housing Authorities
Nursing Homes

Proprietary Sector

Businesses
Nursing Homes
Community Service Providers
Insurance Companies
Newspapers
Taxi and Transit Companies
Utility Companies
Telephone Companies
Physicians and Dentists
Corporations
Lawyers
Philanthropists

Type of Linkage	Definition	Advantages	Implementation Issues
Information Sharing	Exchange of information to promote understanding of agency mission and/or available services and eligibility requirements.	Promotes mutual understand-among agencies about one another and provides the basis for more conplex arrangements.	Requires common definition of terms and agreement on the type of information to be shared. An individual in each agency should be designated to carry this responsibility.
Referral and Followup	Interagency contacts to connect a person with needed services, and to follow up on disposition of case.	Makes available the services of multiple agencies.	Requires procedures for making and receiving interagency referrals. Also requires mechanisms for assuring that services are actually obtained and have desired effects.
Joint Outreach	A planned effort to reach unserved, specified older people; when people are identified, they are informed and linked with services.	Extends agencies' ability to identify and reach underserved population; reduces duplication.	Requires joint staff training and agreement as to content of information conveyed to older people by outreach workers, and as to connecting procedures once older people needing assistance have been located.
Joint Staff Training	Joint participation in development and implementation of training in areas of shared concern.	Increases staff awareness of other agencies' resources and builds staff skills.	Requires agreement on goals, content and methods of training.
Outstationed Staff	A staff-sharing agreement in which an agency places personnel in anothers facilities, retaining administrative control.	Brings together agencies' expertises, thus broadening programs and making services more accessible to older people.	Requires explicit agreements as to staff roles, functions, schedules and supervision among the participating agencies.
Colocation	Offices (and services) of more than one agency placed in single facility.	Enhances accessibility by bringing several agencies together under one roof.	Requires explicit agreement as to maintenance and use of space and each agency's role and responsibilities. May entail administrative structure superordinate to any single participating agency.
Joint Intake	A standardized process by which participating agencies screen clients for potential use of all available services.	Avoids duplicative intake procedures for older people.	Requires familiarity with the eligibility criteria of all participating agencies. Requires mutual acceptance of client assignments, or negotiating assignments.

Type of Linkage	Definition	Advantages	Implementation Issues
Case Management	Formal/informal management progress through network of services to assure that he or she receives services required.	Reduces fragmentation of services for older people with multiple needs by coordinating all or major relevant resources.	Formal case management conducted system-wide requires: -standardized procedures for intake, assessment, service allocation, evaluation, -designation of a lead agency and specialized workers to initiate and carry out these procedures; -acceptance of the lead agency by all parties involved. Informal case management may be more easily implemented because control remains within the domain of the single agency. It requires: -designation of a case manager for each client; -knowledge of community resources, and other agencies' eligibility requirements; -internal agency procedures for intake, assessment, referral, evaluation.

Source

Wagener, L., Carter, P., & Lidoff, L. The Senior Center: A Partner in the Community Care System. Washington, D.C.: National Council on Aging, 1981.

Appendix II-F

INTERAGENCY COORDINATING COMMITTEE FORMAL WORKING AGREEMENT[2]

Whereas, the agencies attaching their signatures to this agreement are the primary providers of human services in Lyon, Sioux, Oscela, O'Brien, Dickinson, Clay, Buena Vista, Emmet, and Palo Alto Counties in the State of Iowa, we enter into this joint agreement out of a mutual commitment to eliminate any real or perceived duplication of services, coordinate service delivery and training efforts, and maximize the cost effectiveness of all human services programs.

Through monthly meetings and regular communications we shall endeavor to:

1) seek to further a high level of wellness and quality of life for the poor and "at risk" population;

2) impact on State legislation regarding the human service needs in a holistic rather than categorical manner;

3) provide information to all elected officials regarding human needs and the coordinated delivery system established to meet those needs;

4) advocate for the establishment of a statewide, interagency, legislative network; and

5) encourage human service providers throughout the state to develop a cooperative view of the delivery of human services.

Signatories to this agreement define the family as the front line in caring for people by supporting, assisting and fulfilling individuals; and further that public and private efforts are secondary to the family and to be utilized only when the family is absent or unwilling to provide the necessary care. It is agreed that individuals are resposible for themselves within their capacity; and human services provided when the individual cannot or is not caring for himself fully.

We mutually recognize the worth and dignity of the human person and are committed to coordinating programs consistent with the human values developed and subscribed to be the communities we serve. In order to insure cost effectiveness and program accountability, we will strive to endorse only those programs which:

1) concentrate on what is to be accomplished and to what degree before deciding how to accomplish it;

2) are consistent with the short and long range plans of area human service providers;

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[2] This form used with permission of the Iowa Lakes Area Agency on Aging.

3) include a clearly defined, objective process of evaluation relative to expected outcomes to include social effectiveness;

4) insure accessibility to all in need and offer multiple, community based access points;

5) enable clients to remain in the community or house of their choice, unless that choice could inflict serious harm on a person or persons;

6) recognize and adapt to the whole person, rather than expect the person to adjust to the program;

7) will be well coordinated and comprehensive in addressing the total needs and fulfillment of both individual and family;

8) promote and support the family as primary in caring for those in need of assistance;

9) are consistent with effective and efficient use of existing resources;

10) are designed to prevent social problems from occurring or increasing as opposed to those which treat, maintain or rehabilitate; and

11) are provided in the least restrictive setting.

We further recognize and agree that the basic needs of all persons are food, shelter, safety, health, love, belonging (community and family), knowledge, aesthetic, and reaching one's own potential. In all cases, each adult has the right, duty, and responsibility to care for him/herself; as does the spouse or family and extended family when the individual is unable or unwilling to care for him/herself.

As human service agencies, we accept the resonsibility of developing programs for "at risk" individuals when the individual, family and extended family care system fails because of the complexity of the problem, an inability or unwillingness to provide care, or to provide the needed care, is cost prohibitive on an individual basis. When this family based system fails, we shall mutually address the problem through a service delivery system designed to keep families together; to be accountable to people locally as well as to higher levels of government; and to make services available locally which offer a variety of service options.

When addressing problems with limited fiscal resources, we recognize the following types and categories of programs and servies in the following priority order.

(1) First Priority - Physiological: Title XIX, Dinner Date, WIC, food stamps, fuel assistance, ADC, SSI, SSA, VA, general relief, public health, homemaker/home health aides, weatherizing, chore services, transportation, rental housing, protective

services, residential repair, adult day care, health screening, volunteer services, foster care, family planning, adoption services, nutrition education, unemployment insurance and conservator services.

(2) Second Priority - Safety: home repair loans, probation, foster care, law enforcement, health regulations and inspections, affirmative action, civil defense, handicapped compliance, child and adult day care, mental health, housing codes, substance abuse, crisis intervention, rehabilitation services, fire protection, marriage/family counseling, legal services, emergency medical services, and corrections.

(3) Third Priority - Love/Social: boys/girls clubs, R.S.V.P., mental health, friendly visitation, telecare, marriage/family counseling, individual/group counseling, recreational activities, congregate meals, senior centers, and parenting classes.

(4) Fourth Priority - Esteem: therapy, mental health services, adult and special education, tuition grants, IETP and CETA.

(5) Fifth Priority - Self Actualization: those programs which assist persons to realize their full potential.

We further realize that all the aforementioned categories of service are all needed by each human being in varying degrees and that priorities as a conceptual framework of a pyramiding, coordinated human services delivery system with physiological services at the base and those relative to self actualization.

We, the undersigned individuals as representatives of our respective agencies, do hereby agree to the principles and philosophies espoused in this agreement; and we further agree to follow the terms of this agreement in our joint planning of human service programs.

We attest by our signatures on this _____ day of _____, 19____.

FOR THE DISTRICT OFFICE OF THE DEPARTMENT OF SOCIAL SERVICES:

_____

District Administrator

FOR THE AREA AGENCY ON AGING, INC.:

_____

Executive Director

FOR THE SENIOR CENTER:

_____
Executive Director

FOR THE MENTAL HEALTH CENTER:

_____
Director

FOR THE DEPARTMENT OF SOCIAL SERVICES

_____
Executive Director

On this _____ day of _____, 19____ before me, the undersigned, a Notary Public in and for the State personally appeared _____, _____, _____, _____, _____, to me personally known and who, being by me duly sworn did say that _____ (are) the persons(s) named in and who executed the foregoing and acknowledged that _____ executed the same as _____ voluntary act(s) and deed(s).

_____
Notary Public in and for the State of

_____
Seal

My commission expires on _____, 19____

APPENDIX III

COMPREHENSIVE SERVICE DELIVERY SYSTEMS TO ACCESS

APPENDIX III-A	Example of Provider Information Form for I&R Component
APPENDIX III-B	Lincoln Information Service for the Elderly (LIFE)
APPENDIX III-C1	Family Change Record Form
APPENDIX III-C2	Summary of Assessment Information
APPENDIX III-C3	Example of Client Profile Form
APPENDIX III-D	Cultivating Client Information Systems
APPENDIX III-E	SEQCOAS Interagency Case Management Demonstration Project
APPENDIX III-F	Volunteer Advocate Levels - Action!
APPENDIX III-G	Legislative Information Sheet for NISC members to Implement at the National, State and County Level
APPENDIX III-H	Protecting Your Tax Exemption
APPENDIX III-I	Advocacy Campaign Strategies
APPENDIX III-J	The Things I Wish They'd Told Me About Volunteers

Example of Provider Information Form for I&R Component

Agency name _____

_____

Type: __Fed __State __Local __Pri/nonprft __For profit

Principal funding
__Fed __Endowment
__State __Contributions
__Local __UF/CC/RF
__Sponsor/parent (_____)
__Other (_____)

Preferred Frequency of Updating (months) 3[] 6[] 12[]

Date of Last Updating of Record _____

MAIN	BRANCH
Address _____ Zip_____	_____ Zip_____
Director _____ Tel_____	_____ Tel_____
Contact Persons _____ Tel_____	_____ Tel_____
_____ Tel_____	_____ Tel_____
Days open visit_____ Tel_____	visit_____ Tel_____
Hours visit_____ Tel_____	visit_____ Tel_____
Emergency services?_____	_____
Public transport/parking?_____	_____
Stairs/elevators?_____	_____

Eligibility (age/residence & time/financial/legal/other :: how to document?) _____

_____

Fees? (any reduction for older people? how to document) _____

Preferred referral procedure (walk-in/phone/formal referral and from whom) _____

Waiting list? (which services, how long) _____

Intake or Application Procedures _____

Appendix III-A

SERVICES

FINANCIAL _____

HEALTH _____

HOUSE-HELPS _____

HOUSING _____

LEGAL _____

LEISURE TIME _____

PERSONAL-SOCIAL _____

TRANSPORTATION _____

MISCELLANEOUS _____

(taxes, emergencies,
information & referral)

Info obtained from:

_____

(title)

Recorded by _____

Date _____

SOURCE: Institute for Interdisciplinary Studies of the American Rehabilitation Foundation, Information and Referral Services (Minneapolis, Minnesota: 1971). Working Draft

Appendix III-B

Lincoln Information Service for the Elderly (LIFE)
901 "P" Street, Room 223, Lincoln, Nebraska 68508

PURPOSE: To allow elderly or disabled people to have fuller access to all available community services; to provide professional assistance so that existing services can be understood, appropriately applied to needs, and efficiently obtained and utilized; to lend continuity and coordination to available social services; and to provide active representation for the elderly and disabled

BACKGROUND/AUSPICES: In January of 1972 the Lincoln Information Service for the Elderly (LIFE) was established to serve Lancaster County as an information, referral, and counseling service. LIFE'S parent organization was the Lincoln Areawide Model Project on Aging (LAMP), then a federally funded demonstration project.

As LAMP evolved and expanded, so did LIFE. Sponsorship by the City of Lincoln created the Lincoln/Lancaster Commission on Aging. In 1977 the Nebraska Commission on Aging designated the Lancaster Commission to represent and serve an additional seven counties. Today, LIFE provides service to an eight-county region as a directly administered component of the Lincoln Area Agency on Aging, a division of the Mayor's office.

FUNDING: LIFE is supported by local funds from the City of Lincoln and participating counties as well as federal funds provided through the Nebraska Commission on Aging.

STAFF: The 14 member LIFE staff is comprised of a director, a counseling supervisor, 5 full-time counselors, 4 specialized part-time counselors, and 3 clerical staff. Two psychiatric social workers and an attorney are affiliate members of LIFE'S service team.

CLIENTELE: Any person 60 years of age, or older, or any agency or individual acting on their behalf.

SCOPE OF SERVICE: LIFE'S approach to aging problems is comprehensive and cooperative. LIFE utilizes, supplements and fills gaps between resources in the following areas:

Legal	Mental Health	Nutrition
Housing	Consumer	Social/Recreational
Financial	Transportation	Employment
Medical	Self/Care/Supervision	Marital
Protective Services	Crisis Intervention	Chemical Dependency

UTILIZATION: In 1978, LIFE counselors averaged 1,585 information contacts, 285 referrals, and 220 counseling contacts or 2,090 total contacts per month with the elderly in Lancaster County. Over 112 home visits are made in a normal month. Since 1972, LIFE has had 105,364 contacts with 10,524 households or over 13,500 elderly individuals.

PRIMARY SERVICES OFFERED:

1. Information Services: The provision of information to or research on behalf of a client in relation to any of the over 270 different community services, financial or tax related benefits, and the rules and regulations which govern these services and benefits.

2. Referral Services: Direct arrangements made on a client's behalf or personal assistance in obtaining needed services or benefits. The service includes interpretation of detailed program information that will enable more effective use of services. Escorting less able clients through more complicated application procedures and follow-up. In multiple problem situations a constellation of services may be arranged, coordinated, and readjusted over time by a counselor.

3. Counseling Services: A service frequently rendered in the client;s home. It involves an intensive effort and a sustained relationship coupled with a definite problem solving process. The object of the process is to pare an otherwise overwhilming situation into manageable parts. The service includes a comprehensive assessment, clarification of the situation and alternatives, interpretation of necessary information, emothional support to alleviate stress and the systematic application of appropriate social services.

COST OF SERVICE: Clients are served without charge.

OTHER SERVICES PERFORMED BY LIFE:

1. Provides specialized employment related information, referral, and placement assistance for older people through LIFE'S Job Opportunity Bureau. Publishes a free monthly employment bulletin.
2. Handles registrations for Senior Handibus Service and the Reduced Bus Fare Program. Provides specialized transportation related referral and assistance.
3. Provides specialized legal services through a contract with Legal Services of Southeast Nebraska.
4. Provides specialized mental health services through an affiliated agreement with Community Mental Health Center.
5. Provides recently widowed people with peer counseling and support through LIFE'S Widow-to-Widow Program.
6. Co-sponsors the Telecare Program with the Retired Senior Volunteer Program (RSVP) and the Blood Buddy Program with the Community Blood Bank.
7. Conducts special surveys, compiles and analyzes primary source data useful in planning and evaluating unmet needs and existing services.
8. Participates in community organization and advocacy project.
9. Provides public information through speaking, extensive use of the media, and the distribution of printed materials.
10. Maintains a library of educational and professional materials related to aging as well as specialized resource files related to all services, programs, benefits, and activities available to the elderly.
11. Contract for outreach information, referral and counseling services in the Malone and Clinton Neighborhoods of Lincoln.

SOURCE

Peck, D., Toward a Continuum of Care for the Most Vulnerable Elderly, Lincoln Information Service for the Elderly, 1979.

Family Change Record Form

1ST (1-3)
5ST (1-3)

(4-7) UNIT #	(8-13) FAMILY ID #	(14-28) FAMILY NAME	ADDRESS	ZIP CODE	(29-30) BOROUGH
					BRONX 01 NASSAU 07 BROOKLYN 02 SUFFOLK 08 MANHATTAN 03 CONN. 09 QUEENS 04 N. J. 10 RICHMOND 05 OTHER 11 WESTCHESTER 06 UNKNOWN 12 BOROUGH CODE_____

(31-36) DATE OF CONTACT | | |

STATUS (37)
CONSUMER 1
VOLUNTEER 2
STATUS CODE___

TYPE OF CONTACT (38)
OFFICE 1
FIELD 2
TELEPHONE 3
MAIL 4
CONTACT CODE___

PUBLIC ASSISTANCE (39)
YES 1
NO 0
CODE_____

TELEPHONE:
HOME_____
BUSINESS_____
SOURCE OF REFERRAL:_____

INSTRUCTIONS	RELATIONSHIP TO HEAD OF HOUSEHOLD	LOCATION	RACE ETHNICITY	SEX	EDUCATION	DATE OF BIRTH	MARITAL STATUS	EMPLOYMENT	OCCUPATION
FILL IN ALL THE REQUESTED INFORMATION WITH THE APPROPRIATE CODES. FILL IN UNIT #, FAMILY ID #, AND ANY NEW AND/OR CHANGED INFORMATION.	HEAD 1 SPOUSE 2 SON/DAU. 3 GRANDCHILD 4 OTHER REL. 5 NON REL. 6	AT HOME 1 NOT HOME 2 UNKNOWN 3	BLACK 1 CHIN. 2 HISP. 3 WHITE 4 MIXED 5 P. R. 6 OTHER 7 UNKNOWN 8	MALE 1 FEMALE 2	0-5 1 6-9 2 10-12 3 HSG. 4 SOME COLLEGE 5 COLLEGE GRAD. 6	ENTER MONTH DAY AND YEAR e. g. 08/12/1874	NEVER MARRIED 1 MARRIED 2 WIDOWED 3 DIVORCED 4 SEPARATED 5 DESERTED 6 OTHER 7 UNKNOWN 8	EMPLOYED 1 UNEMPLOYED 2 RETIRED 3 UNKNOWN 4	UNSKILLED 1 SKILLED 2 CLERICAL 3 MAN./PROF. 4 HOUSEWIFE 5 OTHER 6

(40-41) SUFFIX	LAST NAME	(42-50) FIRST NAME	(51) RELATIONSHIP TO HEAD OF HOUSEHOLD	(52) LOCATION	(53) RACE ETHNICITY	(54) SEX	(55) EDUCATION	(56-63) DATE OF BIRTH	(64) MARITAL STATUS	(65) EMPLOYMENT	(66) OCCUPATION
01								| |			
02								| |			
03								| |			
04								| |			
05								| |			
06								| |			
07								| |			

This is an example of a computerized form used in case management.

Area _____ Date _____

SUMMARY OF ASSESSMENT INFORMATION

Center _____ Worker _____

Client Name _____ Age _____ BD _____

Address _____ Zip _____ Phone _____

Number in Household _____ Names/Ages _____

RESPONSIBLE PERSONS

1) Name _____

Relation _____ Phone _____

Address

2) Name _____

Relation _____ Phone _____

Address

I. PHYSICAL HEALTH

List Health Problem	Under Treatment Yes	No

OVERALL HEALTH: exc ___ good ___ fair ___ poor ___

Hospital: _____ Clinics _____

Doctor's Name _____ Phone _____

Address

Doctor's Name _____ Phone _____

Address

Comments:

Past Year: Seen Doctor Yes ___ No ___ Times Per Year _____ Last Dr. Visit _____

Purpose: _____

Number of Times Hospitalized/Past Year _____ Total No. Days _____ Last Adm. _____ Disch. _____

Why: _____ Where: _____

Activity Limitation (Client): None _____ Little _____ Moderate _____ Much _____

Check as many boxes as apply:

	Needs	Has	Uses	Problems
Glasses				
Hearing Aid				
Dentures				
Ambulation Aid				
Medications				

Vision (With aid) Good ___ Fair ___ Poor ___ Blind ___

Hearing (With aid) Good ___ Fair ___ Poor ___ Deaf ___

(Added Info:)

Kind:

List:

II. ACTIVITIES OF DAILY LIVING

a. PHYSICAL SELF MAINTENANCE

	Needs Help No	Needs Help Yes	Has Help Yes	Has Help No
Get in/out of Bed				
Shave				
Feeds Self				
Dress/Undress				
Get Around House				
Bathe/Shower				
Gets to Bathroom				

Continent: YES NO

b. SELF-SUFFICIENCY

	Needs Help No	Needs Help Yes	Has Help Yes	Has Help No
Telephone				
Travel				
Shop				
Cook Meals				
Special Diet				
Light Housekeeping				
Heavy Housework				
Minor Home Repairs				
Laundry				
Handling Money				
Take Medicine				

If client needs help, who provides?

Other Additional information.

Additional Information:

CLIENT NAME _____

SUMMARY OF ASSESSMENT INFORMATION, Page 2

III. a. **SOCIAL SUPPORTS**

Actual:

Name	Address	Phone No.	Relationship	Services Being Provided

Potential:

Name	Address	Phone No.	Relationship	Services To Be Provided

Does client want more contact with any of above? _____ **Check which one.**

b. **SOCIAL PARTICIPATION**	Yes	No	Frequency	Add'l. information
Able to leave building				
Able to leave neighborhood				
Feels safe in neighborhood				
Does activities by self				
Socializes with others				
Socializes with organized groups				
Would enjoy more socialization				

IV. **PHYSICAL ENVIRONMENT** **Check here if no problems** ☐

	Yes	Doesn't Work	No	Additional Information
Sound building		XXXXXXX		
Sound furnishings		XXXXXXX		
Hot water				
Central heat				
Tub/Shower				
Stove				
Refrigerator				
Freezer space				
Telephone				
TV/Radio				
Washer				
Dryer				

Do stairs present a problem to client? Yes_____ No _____

CLIENT NAME _____

SUMMARY OF ASSESSMENT INFORMATION, Page 3

V. a. EMOTIONAL STATUS

CHECK HERE IF NO PROBLEMS ☐

Check those difficulties you think the client is experiencing

Add'l. information, observations, notes, etc.

____ Feeling lonely
____ Eating problems
____ Sleeping problems
____ Worried, anxious
____ Irritable, easily upset
____ Loss of interest in things
____ Suicidal talk
____ Medication abuse
____ Drinking problem _____

List recent major changes or crises that may be affecting client:

b. INTELLECTUAL FUNCTIONING

CHECK HERE IF NO PROBLEMS ☐

Check those difficulties you think the client is experiencing

Add'l. information, observations, etc.

____ Orientation to time
____ Orientation to place
____ Recognizing people
____ Recent memory
____ Distant memory
____ Making judgments
____ Ability to plan
____ Ability to communicate

VI. RESOURCES

a. **Health** (Please check)

____ Medical Assistance No. _____
____ Medicare: A__ B __ No. _____
____ BC/BS 65 plus
____ CHAMPUS/CHAMPVA
____ Other

b. **Income eligibility**

Total amount/month _____

c. **Income Source** (Please check)

____ Public Assistance (age 60-64) No. _____
____ S.S.I. No. _____
____ Social Security No. _____
____ VA Benefits No. _____
____ Other

VII. RATING SCALE – SUMMARY OF ASSESSMENT INFORMATION

		I.	II.a	II.b	III.a	III.b	IV.	V.a	V.b
Good	1.	0	0	0	0	0	0	0	0
Mild problem	2.	0	0	0	0	0	0	0	0
Moderate problem	3.	0	0	0	0	0	0	0	0
Severe problem	4.	0	0	0	0	0	0	0	0
Totally impaired	5.	0	0	0	0	0	0	0	0

Worker's summary and judgment of Client's situation:

Worker's Rating of Client's Overall Need for Service:

1. No Need 2. Mild Need 3. Moderate Need 4. Severe Need 5. Desperate Need

Worker's Name _____ Agency _____ Tel. No. _____

PCA,PGC IH-03-03-0179-001

DATE ..... NAME .....

DATE OF HOME VISIT ..... ADDRESS ..... PHONE .....

SERVICE PLAN

1. Specific service objectives for this client:

   Short-range goals:

   Long-range goals:

2. Service Needs
   Service to be provided by: (Check all that apply and note name of agency, name of worker, phone number, and instructions for service, including frequency.)

	Need	YES	Other Agency	Informal Resource	PCA	Not Avail.	COMMENTS
Nutrition	Congregate meals						
	Home-Delivered Meals						
	Food Stamps/Surplus						
	Food Shopping Help						
	Nutrition Education						
	Special Diet						
	Other						
	↳ Center or Provider _____ Days/wk. _____ Anticipated Ending Date						
Transportation	Congregate meals						
	Medical visits						
	Shopping/errands						
	Social activities						
	Escort services						
	Other						
Homemaker/ Home Health Aide	Light Housekeeping						
	Home meal preparation						
	Household errands						
	Home mgmt. education						
	Laundry						
	Personal Care						
	Encourage Exercise						
	Other						
	↳ Level ____ , _____ hours per day, _____ days per week. Anticipated Ending Date						
Chore	Heavy house cleaning						
	Minor repairs						
	Janitorial						
	Pest Control						
	Other						
Housing	Nursing Home						
	New Housing						
	Repairs/modifications						
	Public housing						
	Dom Care/Foster Care						
	Other						

NAME _____

	Need	YES	Other Agency	Informal Resource	PCA	Not Avail.	COMMENTS
Health	Home Nursing						
	Health Assessment						
	Rehab. Assessment						
	Medical care						
	Health Education						
	Medical Equipment						
	Other						
Counseling	Individual						
	Marital, Family						
	Financial						
	Addiction						
	Retirement						
	Health						
	Other						
Socialization	Recreational						
	Educational						
	Friendly Visitor						
	Telephone Reassurance						
	Other						
Legal	Direct representation						
	Counseling						
	Other						
Other	Protective Services						
	Advocacy						
	Other						
Income Assist.	SSI						
	Medicaid						
	Other						

COMMENTS:

Date of Next Reassessment _____

Person writing plan _____ Agency _____

PLEASE PRINT

Phone No. _____

Appendix III-C2(p.6)

PHILADELPHIA CORPORATION FOR AGING

In-Home Services Reassessment

Date: _____ Client Name: _____

Agency: _____ Address _____

Current Service: ___Homemaker ____Home Delivered Meals

L____;____hrs x ____days ____days/wk. - Special: _____

____NO CHANGE - Continue service at same level.

Re-evaluated Goal: _____

_____

_____

- - - -

Example of Client Profile Form

Appendix III-C3

WORKER _____

CLIENT _____

REQUEST _____

DATE _____

PART A:

CLIENT _____ Profile completed by _____

Address _____ Telephone _____

_____ Age _____ Birthdate _____

Directions to Home _____ Race ___ Marital Status _____

_____ Sex _____ Religion _____

_____ Social Security No. _____

Former Occupation _____

REFERRED BY _____ Telephone _____

Address _____ Contact, if agency _____

PREVIOUS CONTACTS WITH AACOA AND OTHER AGENCIES:

Agency	Service	Contact Person

FAMILY MEMBERS OF CLIENT (or close friend in lieu of family)

Name	Age	Sex	Relation	Address	Phone

CHURCH _____ Minister _____ Phone _____

Address _____

PHYSICIANS	Address	Phone

LIVING ARRANGEMENTS _____

HEALTH: Bedridden ( ) Wheelchair ( ) Walker ( ) Cane ( ) Ambulatory ( )

_____

_____

MONTHLY INCOME

Amount	Source

FOOD STAMPS: _____

EMERGENCY CONTACT

Name _____ Relation _____

Address _____

Employer _____

Hours _____ Phone _____

CLIENT _____ Date _____

ADDITIONAL INFORMATION: _____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

PART B:

Home/Office Visit By _____ Date _____

Client Needs: _____

_____

_____

Recommended Service Plan _____

_____ Recommended Fee _____

PART C:

CASE ASSESSMENT COMMITTEE Date _____

DISPOSITION: Client Accepted _____ Client Rejected _____

Client Wait _____ Reason _____

Service	Starting Date	Days/Hours	Fee
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

DATE TO BE REASSESSED _____

CASE ASSESSMENT COMMITTEE: (1)____(2)____(3)____(4)____(5)____(6)____(7)_

PART D:

_____ Service Notified

_____ Summary Notes Completed to Date

_____ Follow-up Card Completed

_____ Master File Card & Mailing List Card

SOURCE: Aiken Area Council on Aging, Aiken, South Carolina, 29801

Appendix III-D

CULTIVATING CLIENT INFORMATION SYSTEMS

Gary E. Bowers and Margaret R. Bowers

An analysis of service delivery under the various federal, state and local human services programs reveals that the pattern of service provision to clients is basically the same for most programs. It proceeds generally along a standard path (Figure 1), and encompasses some or all of the following 10 functions:

1. Client Identification. Somehow an individual with a problem or need is detected by the service delivery organization. A client walks in the door, telephones, or is contacted by some type of outreach process. Whatever method is used, the client must be identified in order to start the service delivery process for most services.

2. Problem Assessment. The next step is to determine as precisely as possible the nature of the problem or need, the services that will be required to solve the problem or satisfy the need, and the agencies and/or individual potentially available that can provide the service.

3. Intake. Intake is the formal procedure that an agency uses to initiate services for a client. It usually consists of an interview with the client to obtain demographic and biographic data. The length of the interview and extent of data collection varies

THE HUMAN SERVICE DELIVERY PROCESS

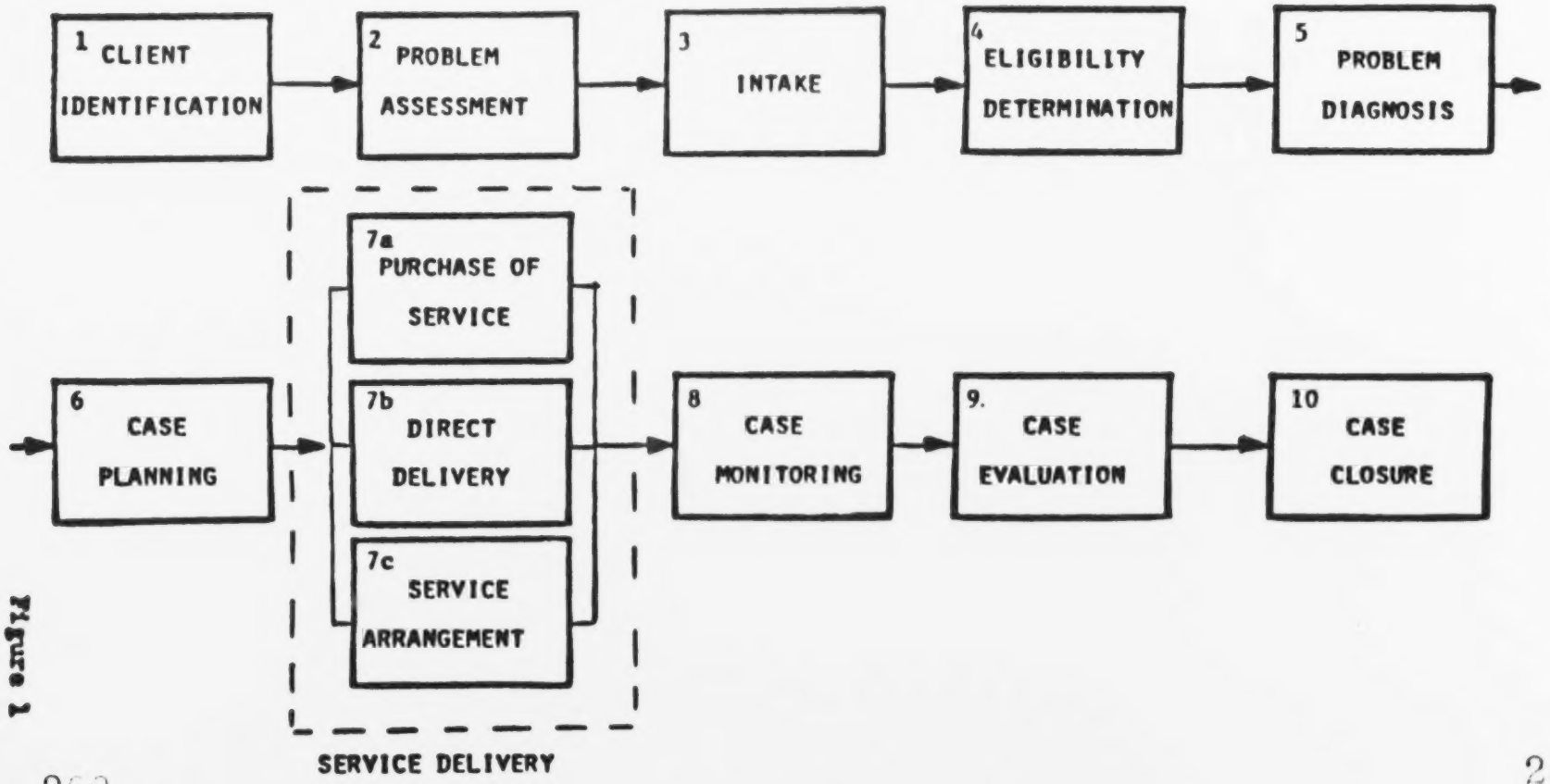

Figure 1

Appendix III-D(p.2)

according to the practice of the agency and the type of services to be provided.

4. Eligibility Determination. Eligibility determination is the process of deciding who pays for the services to be rendered, i.e., what federal, state, local or other service program funds are available to pay for services and how much the client will pay in fees. It should be noted that eligibility determination is a separate function from that of the intake process. While intake and eligibility determination are often done at the same time, it is incorrect to assume that intake includes eligibility determination. Eligibility for public funded services usually is based upon the applicants' income and/or assets, family size, age, physical condition, health, social need or problem.

5. Problem Diagnosis. This step may be accomplished during problem assessment, particularly if the agency who has originally identified the client is the sole deliverer of services. If not, a much more detailed analysis of the particular problem of the client is usually accomplished in order to arrive at a workable case plan.

6. Case Planning. Planning services for a client involves establishing the goal and/or objectives of the services, identifying the appropriate service provider(s), arranging for the delivery of services, scheduling of the services, estimating the cost of services, and determining the amount of services that will be required to achieve the goal or objective.

7. Service Delivery. Services are either: a) directly delivered by the organization who establishes the clients' 'need'; b) purchased from another service provider, public or private; c) arranged for with other agencies to provide them at no cost; or d) provided by a combination of these three methods.

(Note that arrangement for services is not actually delivery of service, except in the case of Information and Referral Systems where arranging for service is the service.)

8. Case Monitoring. The individual or team responsible for the clients' service program periodically compares planned service delivery with that received, to assure that the quality and amount of the services is consistent with that set forth in the case plan.

9. Case Evaluation. Evaluation is the determination of whether the services delivered to the client actually achieved their intended purpose. Evaluation can occur before or after case closure, and at any time after service delivery has been initiated. Case evaluation enables the addition or termination of services to the specific case in question prior to closure, and provides insight into future service planning if conducted after closure.

10. Case Closure. A case is closed by the individual or team responsible for the case when the client is no longer the recipient of services. Reasons for closure can range from voluntary termination, successful achievement of goal or objectives, death, moving out of the area, to a wide range of other reasons.

These ten functions are part of the service delivery system, not the information system. It should be noted that all service delivery organizations do not necessarily follow each step as formally described. Many organizations are set up to accomplish only a limited number of the functions, and in many cases, several organizations are required to complete the entire service delivery process.

Source

The Human Service Delivery Process Monograph Series, Number 5, Project SHARE, Aspen Systems Corporation, 1975, pp 10-13.

Appendix III-E

SEQCOAS Interagency Case Management Demonstration Project

SEQCOAS member agencies have long been concerned about the frail and vulnrable elderly who have difficulty accessing services in the community. While we strive to coordinate the work of the many agencies serving this population, to the elderly the myriad services remain difficult to negotiate. Often, older persons are sent from agency to agency, not knowing which will most appropriately meet their needs. Each agency seems only to respond to that part of their problem which is the agency's specialty. Each subjects the older person to a humiliating battery of questions to determine if he/she qualifies for available services. Too often the older person becomes lost in a system where workers at one agency have limited knowledge of the services being provided by workers at other agencies in the community. No one takes responsibility for assuring that all services are provided in an orderly fashion. Thus, the frail older person often is without services which he/she requires.

In an effort to create a service delivery system which will respond to these needs, SEQCOAS developed a demonstration project on interagency case management. Funded in December 1980, by the Administration on Aging/HHS, it is to demonstrate two models of interagency case management; the computer-assisted model and the team case management model.

SEQCOAS had, prior to receiving funding for this project, examined approaches to case management for the frail elderly. We were particularly anxious to utilize our newly developed management information system, with its mini-computer, as a means of enhancing the sharing of information between agencies serving the same client. Prior to the funding of this project, agencies were beginning to collect common data (primarily demographic and service usage) for their own planning and reporting purposes. The use of the computer to support case management had another value to the SEQCOAS Project. While several agencies had begun to use the MIS, many agencies had difficulty recognizing the potential of the computer. To collect data for internal planning purposes was of little value to agencies which had limited experiences in planning and needed more resources and alternatives from which to plan rather than more data on which to base their decisions. Thus, the use of the computer for information-sharing was seen as a means of demonstrating to member agencies another, more concrete way, in which the computer might be useful to them. Because the project was a demonstration, they would need only to volunteer limited staff resources to serve limited numbers of their own clients. Thus, no agency would feel overburdened by the requirements of participation.

Yet, there were agencies in the consortium, who still were not anxious to participate. Sharing information through a computer to some was seen as antithetical to what social work is all about--it reduced the relationship to the client to computer printout. They saw information-sharing as valuable, but best accomplished either through telephone conversations with their counterparts in other agencies or at best through traditional case conferences. Furthermore, many of these members were concerned about the use of a computer which might make decisions for them. All were also deeply concerned about the issue of "confidentiality" when information is shared about individual clients.

Our commitment had been, in our original SEQCOAS grant from AoA, to develop a case management system in Southeast Queens. The discussion of these two models of case management and several others as well, continued through the SEQCOAS Integrated Services Delivery Committee (ISDC) during the latter part of the summer. Rather than decide on one model of case management for adoption by the entire community, it was decided that experience was needed before a deci-

sion could be reached about which model or variation would best meet the needs of older people and agencies serving them. When a funding opportunity presented itself, SEQCOAS staff developed the Interagency Case Management Demonstration Project.

Unlike other case management systems, in which the responsibility for case management rests with a government agency or other defined body, this project emphasized the interagency and voluntary nature of the system. No new staff were to be hired (with the exception of a Case Management Coordinator) nor were resources available for the case managers to purchase services, as is often the case in other systems. Each participating agency would designate one of their staff, preferably a social workers, to be a case manager in the project. All member agencies were given an opportunity to participate and select the model in which they wished to be involved. In each model, however, it was important that there be an appropriate mix of agencies to include: a hospital, social service agency, mental health agency, home care agency and senior center. Due to fiscal restraints, Model I (computer-assisted) was limited to four agencies while Model II (team case management) has five (agencies listed below).

COMPUTER ASSISTED MODEL	TEAM CASE MANAGEMENT MODEL
Jamaica Service Program for Older Adults	Visiting Nurse Service of New York
Community Mental Health Center (QHC)	Vacations & Community Services for the Blind
Mary Immaculate Hospital	Creedmore Psychiatric Center
General Social Services/HRA	Catholic Charities
	Jamaica Hospital

The core of the project is that both models would use common forms for the collection and sharing of information. One model will rely on the computer for the sharing of information while the other will rely on the case conference. In both models, the case manager will not only be the individual who collects and shares information, but also will serve in the traditional role of the case worker. It is this individual who takes ultimate responsibility for assessing an individual client's needs, arranges for services, does follow-up as appropriate, and insures that the full needs of the individual are being met. A series of training sessions were developed and provided by Temple University Institute on Aging to assist the workers in assuming this role.

Three common forms are to be basic to the system: a common intake form; a common service recording log; and a common assessment/case planning form. The common intake form had previously been developed, tested and used by several member agencies. In addition to providing identifying information, it includes basic demographic data. The service recording log had also been previously developed and served as a means of capturing and maintaining a log of services provided to individual clients. The common assessment/case planning forms were the only new forms required and proved to be the most difficult to develop. Given the fact that agencies participating in the project are volunteering their staff time, there are restrictions on how much time they may devote to "paperwork" for this project. In addition, the case managers are required to complete other forms which are required by their own funding agencies. A detailed assessment thus would have been a hardship for both case managers and clients who are already overburdered with excessive forms to complete. As a result, the assessment form collects only information valuable to the case managers in developing case plans. Each of the forms was developed in cooperation with not only the case managers, but the ISDC representing all SEQCOAS members; the JSPOA Senior Citizen Advisory Council; and JSPOA Social Service Task Force, a broad group of service providers.

The need for a statement on procedures on confidentiality and consent was also identified. All the above groups were deeply concerned over this issue and the procedures developed responded in detail to these concerns. The result was a statement which was agreed to by all.

Prior to serving the first client, several other steps had to be taken. With the cooperation of these groups, a definition of "frail elderly" was developed which would serve as the basis for referral of clients to the project.

Procedures for operation of the project had to be refined. Workers are expected to refer cliencts to the projects from their own caseloads according to the agreed upon definition. They will complete the intake form and then complete an assessment and plan for the client.

In Model I, this information will be entered into a computer terminal on-site, provided by the project. This terminal, hooked up to the central computer, enables case managers to share data directly with one another. Because forms were agreed upon by all, the determination that a client requires the services of other agencies automatically facilitates arrangement of that service for that client. There is no need for the client to go from agency to agency presenting the same information. Information can instead be shared instantly by all concerned.

The case manager also completes and maintains a service log which provides a computerized record of all services provided by each agency in the community. At periodic intervals, the computer alerts him/her to the need for a reassessment and he/she is also provided, through the Case Management Coordinator, with a variety of computer reports including demographic data on the kinds of clients and problems he/she is dealing with, as well as reports on gaps in service delivery. The latter report is key to the project. By helping to identify gaps, it enables the worker to shift his/her picture of case planning accordingly. In addition, it enables SEQCOAS to decument the existence of these gaps and to seek remedies for these gaps at several levels--local, community, state and Federal. While we recognize the value of coordination and its potential for improving the lives of older people, SEQCOAS also recognizes that the problem of poor service delivery may exist due to a lack of resources rather than a lack of coordination. A commitment to reduce these gaps is, thus a major objective of SEQCOAS.

The team case management model employs some of the same procedures as Model I. The same forms are used and the same types of clients are referred by case managers. The major difference is that instead of relying upon the computer for sharing information, case managers, having no terminals, rely upon face-to-face case conferences, using computer printouts for information-sharing. By pooling their expertise and the resources of their agencies, they can together develop an effective plan for a client. The worker referring the client is responsible for completing the intake and assessment. The team jointly develops the case plan and assumes responsibility for its implementation, designating one worker to take primary responsibility. The older person or his/her caregiver is encouraged to participate in the conference and to take at least some responsibility for the plan development. He/she may also designate the worker to serve as the primary case manager.

Finally, project staff selected an evaluation team for this project. The Columbia University Center for Geriatrics and Gerontology which had been recently selected by Administration on Aging to be a "long term care center" agreed to evaluate the project.

Source

Procedures Manual: Interagency Case Management Demonstration Project (AoA Grant #AT2A49-B). New York: Jamaica Service Program for Older Adults.

Volunteer Advocate Levels - Action!

INTERPRETER OF SERVICES
TO

clients
their families
sponsors and funders
cooperating agencies
community as a whole

MOBILIZER FOR

support for policies
on issues
resources - business,
United Way, etc.
programs
talents:
trainer
organizer
supervisor
(of other volunteers)
staff interests as:
supervisors
trainers
partners to volunteers!
allies in the cause

OMBUDSMAN FOR

pleading cases to agencies
pleading causes to decision-makers as budget committees, foundations, etc.
arranging for special services
people with complaints, righting wrongs and inequities
securing appropriate services

LOBBYIST TO

suggest legistation
support legislation
monitor regulations
against legislation
intent
convince appropriators
negotiate provisions:
USE POWER to hold
accountable:
legistature
executives
judiciary

Adapted from
Naylor, H. H. Administration for Public Services, Health, Education and Welfare.

Appendix III-G

LEGISLATIVE INFORMATION SHEET FOR NISC MEMBERS
TO IMPLEMENT AT THE NATIONAL,STATE AND COUNTY LEVEL

I. KNOW THE LEGISLATORS THAT REPRESENT YOUR AREA

A. Know the local, county, state and national legislators' names and the names of their aides.

B. Write a letter to each legislator letting them know what your agency's program is and that you would like to be informed of legislation related to your interest area. Tell them that you will be glad to provide them with information regarding the impact of various legislation and how it will affect the people in his or her area.

II. SUBSCRIBE TO AS MANY LEGISLATIVE BULLETINS AS YOU CAN

III. FIND OUT WHAT ADVOCATE GROUPS EXIST THAT ARE WORKING FOR THE SAME THINGS YOU ARE

A. Let them know that you exist.
B. Find out where duplication of effort exists and work to remove this where possible.
C. Work toward pooling efforts (when possible) for more effectiveness.

IV. KNOW EVERYTHING YOU CAN ABOUT THE LEGISLATIVE PROCESS IN THE VARIOUS LEGISLATIVE BODIES YOU ARE TRYING TO AFFECT

A. Know who the leadership is and who the chairpersons of vital committees are.
B. Find out who regularly introduces and votes for legislation favorable to your interests.
C. Find out, whenever possible, where important decisions are made and by whom.
-- Many times, the important decision is not made in a legislative session or a committee meeting but is made in someone's office or over lunch. Sometimes, too, the important decision is made by a seemingly "unimportant" legislator who is really calling the shots and who can be <u>very</u> important to you!

V. READ AS MANY PUBLICATIONS AS YOU CAN, KEEPING AN EYE OUT FOR ANYTHING DEALING WITH LEGISLATION YOU ARE INTERESTED IN

VI. ALLOW SPECIAL TIME PERIODS TO MEET WITH LEGISLATORS AND/OR STAFF WHENEVER IN WASHINGTON OR YOUR STATE CAPITOL.

VII. KNOW HOW A LAW IS BORN IN YOUR STATE

VIII. ORGANIZE A STATEWIDE ACTION ALERT SYSTEM ON KEY LEGISLATIVE ISSUES

IX. PUBLISH LISTS OF STATE CONGRESSIONAL DELEGATIONS FOR SENIOR CENTER MEMBERSHIPS.

X. LEARN AND MONITOR STATE BLOCK GRANT PROCESS IF CATEGORICAL GRANTS ARE DENIED.

XI. LET LEGISLATORS KNOW YOUR STAND ON LEGISLATION BEFORE THEM

A. Provide facts and figures on how a particular piece of legislation will benefit or not benefit (as the case may be) the constituency served by the legislator and (hopefully) your agency.

B. Offer realistic alternatives in terms understandable to a layperson (remove social work jargon and shoptalk, that is) which are doable and buyable to the legislative body.

-- Drastic shifts in policy or programs are not easily passed and must often times be presented gradually with the expectation that they will be "beefed up" at a later date. It is easier sometimes to improve and expand an existing law than it is to pass the whole thing in the beginning (the wheels of government grind exceeding fine and slow!)

C. Include the cost of the program which your agency advocates.

--A legislator is much more likely to be sympathetic if you have given thought to the fiscal implications this legislation will have since this is where the real crunch occurs. Above all, be realistic here and don't advocate a program which will spend 25% of the budget.

XII. PREPARE TESTIMONY FOR PUBLIC HEARINGS SCHEDULED ON BILLS WHICH INTEREST YOU

XIII. LET LEGISLATORS KNOW THAT YOU APPRECIATE WHAT THEY HAVE DONE BY SUPPORTING THEM WHENEVER POSSIBLE

--Most people only know that their legislator exists when they want soemthing. When the legislator needs them, they could care less. It makes sense to put in a good word for them at election time when they have worked hard for issues you champion.

XIV. STUDY THE RECONCILIATION PROCESS INITIATED IN 1981-82 CONGRESSIONAL SESSION.

XV. READ CAREFULLY THE RESPONSES YOU RECEIVE FROM LEGISLATORS. CHECK THE FACTS, FIGURES AND ESPECIALLY VOTING RECORDS.

XVI. ABOVE ALL, DO NOT RELY ON A LEGISLATOR OR ANYONE ELSE TO STAND UP FOR THE INTERESTS OF YOUR GROUP OR AGENCY BY HIMSELF OR HERSELF AND DON'T EXPECT A LEGISLATOR TO AUTOMATICALLY KNOW THAT YOU ARE INTERESTED IN A PARTICULAR PIECE OF LEGISLATION UNLESS YOU LET HIM OR HER KNOW.

HOW TO WRITE A LETTER TO YOUR CONGRESSMAN

THE MOST FREQUENTLY USED, CORRECT FORMS OF ADDRESS ARE:

to your senator:	to your representative:
The Honorable_____ United States Senate Washington, D.C. 20515	The Honorable_____ U.S. House of Representatives Washington, D.C. 20515

"Sincerely yours" is in good taste as a complimentary close. Remember to sign your given name and surname. If you use a title in your signature be sure to enclose it in parentheses.

Forms similar to the above, addressed to your state capital, are appropriate for your state representatives and senators.

Where possible use your official letterhead. If this is not in order, and you write as an individual, use plain white bond paper, and give your official title following your signature as a means of identification and to indicate your competency to speak on the subject.

REMEMBER:

1. Your congressman likes to hear opinions from home and wants to be kept informed of conditions in the district.
2. If writing about a specific bill, describe it by number or its popular name.
3. He likes intelligent, well-thought-out letters which present a definite position.
4. Even more important and valuable to him is a concrete statement of the reasons for your position..... particularly if you are writing about a field in which you have specialized knowledge.
5. Short letters are almost always best.
6. Letters should be timed to arrive while the issue is alive.

AVOID:

1. Letters that merely demand or insist that he vote for or against a bill: or that tell him how you want him to vote, but not why.
2. Threats of defeat at the next election.
3. Boasts of how influential the writer is in his own community.
4. Asking him to commit himself on a particular bill before the committee in charge of the subject has had a chance to hear the evidence and make its report.
5. Form Letters or letters which include exerpts from other letters on the same subject.
6. Writing to a Congessman from another district, except when the letter deals with a matter which is before a committee of which he is a member.

OTHER WAYS TO EXPRESS YOUR OPINIONS

Western Union

Mailgram: 50 Words for $3.20, next business day delivery

Public Opinion Message: 20 Words to elected officials anywhere in U.S. for $3.50

White House 202-456-1414 - ask for comments office

For information on legislation

Call local federal information centers (located in many regions)

Your Congressman likes to know when he has done something of which you approve.....He is human too.....so don't forget to follow through with a Thank-You Letter.

Source

National Institute of Senior Centers, Policy and Issues Analysis Committee, 1981.

Appendix III-H

Protecting Your Tax Exemption

A common hesitancy on the part of many tax exempt organizations to becoming involved in advocacy is their concern about protecting their tax exempt status. The information contained in this section can help alleviate some misconceptions in this area. The restrictions and provisions discussed here only apply to lobbying activity and only apply if your organization is tax exempt under IRS code section 501-C-3 or if the organization or agency you wish to have help you undertake lobbying activity has such an exemption.

Until the Tax Reform Act was passed in 1976, the law held a large club over charitable organizations violating the unclear rules limiting their lobbying activity. The ultimate penalty could be imposed: the loss of tax exempt status. The new law deals comprehensively with all areas of voluntary organization involvement with public policymaking and opinion. As a result of the new law, certain public charitable organizations exempt from paying federal taxes (under IRS code section 501-C-3) can now choose to make limited expenditures for influencing legislation without the threat of losing their exemption. There are four basic provisions of the 1976 Tax Reform Act which relate to this:

(1) Public voluntary 501 (c) (3) organizations are given outright permission to lobby without any penalty up to certain dollar limits. If you spend more on lobbying than you are supposed to for any given year, the excess you spent is rather heavily taxed. You will only face the possible loss of your tax exempt status if the average lobbying expenditures in the most recent four years goes over 150% of what you were supposed to limit yourself to.

(2) This new law is elective. No organization is automatically covered (To take this election, use IRS form 5768). If you do not take this choice, you are subject to the same restrictions that tax exempt organizations have been under for years. This election is not available to private foundations, churches or synagogues, or their auxiliaries.

(3) There are dollar limits placed on what your tax exempt organization can spend on lobbying. These are calculated on a percentage of your budget, based on a sliding scale. There are specific definitions of what you can count as your organization's budget, but roughly speaking you can spend:

20% of your 1st $500,000
15% of your 2nd $500,000
10% of your 3rd $500,000
5% of the rest of your budget up to a ceiling of $1,000,000

The expenditure limitations also relate to two types of lobbying:

Direct lobbying: "any attempt to influence any legislation through communication with any member or employee of a legislative body or with any other government official or employee who may participate in the formation of the legislation."

Grassroots lobbying: "any attempts to influence any legislation through an attempt to affect the opinion of the general public or any segment thereof."

For example, if your local public health association is tax exempt under 501 (c) (3), they can spend up to 20% of their $10,000 budget, or $2,000, helping to pass legislation appropriating money to senior citizen health services.

(4) Not all government relations and planning activities are subject to expenditure restrictions on lobbying and some lobbying activities are allowed unlimited lobbying expenditures. Self-defense lobbying is allowed unlimited lobbying expenditures. Self-defense lobbying includes legislative activity conducted by a charitable organization in order to protect its source of support, its exempt status, its powers and duties or its means of obtaining contributions.

The following are not considered lobbying by the new law. These are consequently not subject to any expense limitation or penalty.

a. Making available the results of nonpartisan analysis and research. In doing so, the organization may advocate a particular position or viewpoint so long as it provide a sufficently full and fair exposition of pertinent facts to enable the public or an individual to form an independent opinion or conclusion. Mere presentation of unsupported opinion would not qualify as nonpartisan analysis.

b. Providing technical assistance in response to a written request by a legislative body. This is equivalent to "expert testimony." An organization responding to such a request may express an opinion without the "sufficiently full and fair exposition of pertinent facts" called for under the nonpartisan analysis.

c. Communications between organizations and its bona fide members. An organization can tell its members what is going on legislatively and express its opinion as to the outcome of a legislative proposal. It can furnish its members every argument in favor of its position without balancing it with arguments against. If it does not directly encourage its members to influence the legislation or does not itself try to influence the general public, it does not engage in legislative activity as defined in the Tax Reform Act.

d. Holding a forum on an issue or a topic which might later become a subject of legislation does not constitute lobbying under the Tax Reform Act.

e. Discussions with legislators or the general public on subjects which are before the legislature are not considered lobbying, if the discussions do not address the merits of a specific bill or proposal. In other words, your local United Way can talk with your state senator about the need for day care for the elderly without discussing the specifics of a bill before the State Senate to fund such programs around the state, or it could advocate the introduction of such a measure up until the time that it became known that legislator intended to introduce it.

It is important to note that there has been no change in the law with respect in influencing the administration of any law already in statute. Any charitable organization can engage in this type of activity without limits of any kind, as has always been the case.

There is still no latitude whatsoever given to 501 (c) (3) tax exempt organizations to participate in election campaigns for elective office. This applies to all political campaigns and continues to prohibit activities such as endorsements, ratings of candidates and organizational campaign contributions.

Source

Ingraham, S., A Handbood for the Sixties, Seventies, and Eighties: Advocacy Manual for Oklahoma Aging Network. No. T-IV-A-31, DHEW, OHD, Oklahoma Department of Institutions, Social and Rehabilitative Services, Special Unit on Aging, 1979.

Appendix III-I

Advocacy Campaign Strategies

There are several tactics available from which to choose when developing strategies for advocacy campaigns. A partial list with definitions follows. Several of these tactics will be examined more closely and evaluated by their effectiveness in conjunction with their use in a specific arena.

Public Rally	A mass assembly to create or demonstrate enthusiasm for a cause.
Demonstration	Any of several large group efforts to show opposition to a situation or to publicize a cause. Includes picketing, marches, and sit-ins.
Negotiation/Bargaining	Coming to terms by conferring with others often involves a compromise on the part of both parties.
Persuasion	Influencing by means of argument and reasoning.
Direct Intervention	Working directly between an agency and the person for whom you are advocating to resolve the problem.
Public Hearing	A hearing usually called by a public official to hear comments from the people related to a specific issue.
Town Hall Meeting	A gathering which can be organized by the community which invites officials to make general comments and respond to the community's questions.
Media Blitz	An intensive campaign to get media coverage; includes newspaper, TV and radio coverage.
Boycott	An organized effort not to use, purchase or deal with someone or something as a means of protest.
Lobbying	Individuals or groups letting public officials know their opinions and preferences; providing public officials with additional information in an attempt to persuade them to a specific opinion.
Grass Roots Lobbying	Attempts to pass or kill legistation or policy by influencing the opinion of the general public or a segment of the general public.
Petitions	Collections of signatures to show support for the cause.
Letter Writing Campaign	An organized attempt to influence decisicions by constituent input through the mail. (This kind of campaign can also be undertaken with telephone calls, telegrams, and personal visits.)
Litigation	Engaged in court proceedings to seek solutions.

Testify.....Making a statement by invitation or summons before a court, commission or legislative body.

Whichever approach your group selects - plan to win.

Source

Ingraham, S., A Handbood for the Sixties, Seventies, and Eighties: Advocacy Manual for Oklahoma Aging Network, No. T-IV-A-31, DHEW, OHD, Department of Institutions, Social and Rehabilitative Services, Special Unit on Aging, 1979.

THE THINGS I WISH THEY'D TOLD ME ABOUT VOLUNTEERS

With appropriate credit to the late Randolph L. Fort, Emory University

1. I wish they'd told me that the time devoted to identification of and research on volunteer prospects is among the wisest investments of time a professional staff member can make. Too often, the person who appears to have the makings of a good volunteer turns out in practice to be a major disappointment. Careful inquiry and research beforehand can often avoid traumatic disappointments of this kind.

2. I wish they'd told me that one of the most critical points in the development of a good volunteer is the moment at which he or she is recruited. Most people have a fear of being rejected and often follow the easy path of telling a potential volunteer "This won't take much of your time," or "We only want to use your name," or "You will only have to attend a couple of meetings a year." Almost inevitably a recruitment of that kind leads to stress and disappointment later on. Any organization which needs only that kind of volunteerism doesn't deserve the time and efforts of a responsible person.

3. I wish they'd told me that volunteers flourish best when the professionals with whom they are working welcome their ideas and are flexible. No matter how competent a professional is, he or she has not encountered every idea there is, and many volunteers have competence, experience, and imagination of such quality that they can inject some useful changes into the functioning of any institution or organization. Failure to take advantage of this potential reservoir of ideas can reduce volunteers to token participants and, in general, the organization affected will suffer or at least fall short of its potential goals.

4. I wish they'd told me how stimulating a well-planned orientation program can be for new volunteers. If identification and recruitment have been well executed, new volunteers have a high level of enthusiasm as they anticipate their new responsibilities. They should be invited to a special orientation session to learn about the organization they are being asked to serve: to become familiar with the scope and limits of their responsibilities; and to be exposed to the most pressing issues with which they are to be confronted.

5. I wish they'd told me that the competent professional staff person knows how to keep good volunteers out front and to stay in the wings himself.

6. I wish they'd told me that there are ways to organize volunteers so that the weak ones can be weeded out and the strong ones retained through a simple organizational process.

7. I wish they'd told me that even the most dedicated volunteer doesn't always, upon arising each morning, open his days with serious thoughts about my institution. It is easy for professionals to lose sight of this reality and to peg our level of expectancy on the unrealistic premise that the volunteer does spend all of his waking hours thinking about and doing for our own organizations. This assumption, if allowed, will almost certainly lead to conflict. The volunteer does have other things to attract his attention - like his job, his family, his personal problems and, yes, even his pleasure at times. It is far more productive to work with the volunteer on the premise that there are relatively short attention spans during which energy and action will be expended on behalf of our cause.

8. I wish they'd told me that volunteers do respond positively to being recognized and rewarded for their efforts.

9. Volunteers work best when they are utilized properly. I wish they'd told me that when I was younger. A number of times in my life I wish I had not been party to recruiting groups of volunteers who showed great enthusiasm at the outset and then floundered shortly because they were improperly utilized. Guidelines, direction, research, correspondence, typing, reproduction, program notes, meeting agendas, arrangements for travel - all of these myriad and important staff functions chew up the volunteer's time and quickly dampen his enthusiasm if they are not handled properly by staff. It is stimulating and productive to watch a volunteer function when a staff member is anticipating his needs and removing obstacles in order to allow the volunteer to focus time and attention on activities which will make his talents bear most productively on the problems at hand. Show me a volunteer who is typing name tags and I'll show you a volunteer who is not getting the big jobs done.

10. I wish they'd told me that it is possible to bore volunteers into a state of numbness through meeting agendas loaded with trivia. It is absolutely essential that every experience which the volunteer has with our organizations be as rewarding as possible on a substantive level. If the volunteer is made to feel that his experiences are being brought to bear on low-level problems, then it will follow as night follows day that there will be low-level performance and low-level achievement.

11. I wish they'd told me that the relatively unglamorous volunteer who is willing to put his heart, his back, and his head into the work is more valuable than three crown princes who are willing only to lend the luster of their names to the effort. One is fortunate, indeed, if he can identify crown princes who will also work hard, and there are many glowing examples of such people.

12. I wish they'd told me that it is not beneath the dignity of a sound professional person to be painstaking in paying attention to detail when volunteers are involved. Volunteers do like to have their names spelled correctly and their middle intials or middle names used properly. They do like to have their place cards and name badges prepared clearly and legibly so that friends with bifocals can read them easily. They do like tohave enough lead time to think about the matters on which they are going to be asked to act during meetings. They do like to have papers prepared for them in clear English and put together in such a way that it is easy to make references during meetings. They do like to have telephone numbers and addresses handled correctly, and when they are given lists to work on they need to know that someone has gone over them with care to eliminate erroneous titles and other faulty information. It is not demeaning for a high level professional to see to it that this kind of detail is attended to.

13. I wish they'd told me that the professional person who completely dominates the volunteers around him has or will have a group of weak volunteers.

14. I wish they'd told me that if the professional regards volunteers merely as necessary evils, that attitude will almost certainly have a debilitating effect on the direction of the organization and its overall effectiveness.

APPENDIX IV

OPERATIONS

APPENDIX IV-A	Questions You Might Ask Your People... Board, Paid Staff or Volunteers
APPENDIX IV-B	Working Agreement between the Housing and Redevelopment Authority in and for the City of Minneapolis and the Senior Citizens centers of Greater Minneapolis, Inc.
APPENDIX IV-C	Techniques for Generating Consensus
APPENDIX IV-D	Discussion Traps: Avoid Them
APPENDIX IV-E	Analysis: Grants and Contracts
APPENDIX IV-F	A Proposal Checklist
APPENDIX IV-G	Approaches to Information Dissemination
APPENDIX IV-H	Brochures and Pamphlets
APPENDIX IV-I	Typical News Release
APPENDIX IV-J	Television Public Service Announcement
APPENDIX IV-K	Radio Public Service Announcement
APPENDIX IV-L	Preparing to Speak in Public

Appendix IV-A

Questions You Might Ask Your People...
Board, Paid Staff or Volunteers

1. Do you understand and support the goals and beliefs of the organization?
2. Are various roles and responsibilities clearly understood?
3. Do you feel comfortable with other members of the program's "team"?
4. Have you received all of the information you feel is necessary in order to do your job effectively?
5. Where do you turn when you have a problem?
6. Are there opportunities for your training and personal growth?
7. Are your goals for the organization being achieved?
8. Have you identified personal goals and, if so, are they being achieved?
9. Are your personal skills being used in a way that gives you satisfaction?
10. Have you other skills or resources to offer?
11. What are you doing that you would like to do less of?
12. What are you not doing that you would like to do?
13. What are you doing that you would like to do more of?
14. What do you tell others about your involvement with this organization?
15. Do you feel appreciated for the work you are doing?
16. Would you recommend the organization to a friend?
17. How would you describe the experience you are having?

Appendix IV-B

Working Agreement between the Housing and Redevelopment Authoritiy in and for the City of Minneapolis and the Senior Citizens centers of Greater Minneapolis, Inc. for the Following Space

314 Hennepin Ave.

2 - Lavatories	1 - Kitchen
1 - Crafts Room	1 - Lounge
1 - Community Room	1 - Billiard Room
1 - Meeting Room	1 - Atrium Areas
1 - Office	

This agreement is subject to the Statement of Policies Governing the Use of Community Spaces in Public Housing for Senior Citizens Owned by the Housing and Redevelopment Authority in and for the City of Minneapolis.

I. The Housing and Redevelopment Authority in and for the City of Minneapolis hereby:

Designates the Senior Citizens Centers as the coordinating agency to perform the following functions in the facilities described above and in the adjoining neighborhoods.

1. Develop, coordinate and integrate a program of social work services and leisure time activities, utilizing public and private agencies, neighborhood residents, churches, civic groups as well as group work, counselling and community organization services of Senior Citizens Centers.

2. Schedule and coordinate the use by public and private agencies and organizations of community facilities provided by the Housing Authority.

Agrees that it will not hold Senior Citizens Centers responsible for acts and omissions of agencies, organizations and private parties using community space provided by the Housing Authority, over which agencies and organizations Senior Citizens Centers has no control or right of control.

II. As the designated agency coordinating and integrating social work services and leisure time activities in and for the above facilities and adjoining neighborhoods, Senior Citizens Centers.

Agrees to use its available staff and services in an effort to achieve a balanced program of social work services and leisure time activities, etc.

Agrees to develop a system of scheduling the use of community space by agencies, organizations and groups not under its control in cooperation with Housing Management

and consistent with the Statement of Policies, etc. Disclaims all responsibility and liability for acts and omissions of staff and representatives of other agencies, organizations using community space over whom Senior Citizens Centers has no control or right of control and the Housing and Redevelopment Authority shall not seek indemnity or contribution from Senior Citizens Centers arising from or by reason of any such responsibility or liability whether actually imposed by law as claims by any third person or organization.

Agrees to furnish the Authority with a Certificate showing that the agency carries public liability insurance in the amount of $1,000,000/$300,000 covering its operation and use of facilities provided by the Authority and naming the Housing and Redevelopment Authority in and for the City of Minneapolis as an additional insured. Said insurance policy shall provide that ten days advance notice of any change or cancellation of the policy be furnished the Authority at its office.

III. This agreement may be cancelled by either party on 90 days written notice.

FOR THE HOUSING AND REDEVELOPMENT AUTHORITY

_____

FOR SENIOR CITIZENS CENTERS

_____

DATE

_____

Source

Submitted by The Housing and Redevelopment Authority in and for the City of Minneapolis, 217 South Third St., Minneapolis, MN 55401.

Appendix IV-C

Techniques for Generating Consensus

Some technique is required to help the community (through its representatives) reach consensus on priorities.

Method 1: The Nominal Group Process

First developed at the University of Wisconsin for problem identification and program planning, this approach is most helpful in bringing together individuals and organizations who are not familiar to one another.

- Step a: Divide participants into groups of eight to ten individuals.
- Step b: Assign a trained volunteer (city staff, elected officials, citizen group members) to act as a group leader.
- Step c: Participants are asked to record their perceptions of important community problems.
- Step d: Individual lists are compiled into a group list and discussed.
- Step e: Participants write down their top five priority problems.
- Step f: Leaders tally votes and report the top five priority items for the group.

Advantages	Disadvantages
Fosters creativity.	Difficult to assemble representative group.
Allows all individuals to participate instead of only the most verbal.	Its simplicity does not inspire the community's trust in the process.
Broadly applicable to different groups and situations.	
Can be used for established citizen's planning group or open to all interested members of the community.	

Method 2: The Delphi Process

This process was first designed to obtain input from a wide variety of knowledgeable people, in a highly structured way, without having to call the group together. Planners can direct the kind and frequency of input by mailing out questions over a long period of time.

- Step a: The planner selects a group of professional, technical and political community leaders and elicits their commitment to take part in process.
- Step b: Leaders are mailed the following question and asked to respond in writing: What do you feel are the community's most pressing problems? Describe them and tell why you think they are important.
- Step c: Responses are compiled (anonymously) and mailed out to the participants who are asked to answer the question again in light of the other responses.
- Step d: Step c is repeated until the participants are no longer changing their answers.

Advantages	Disadvantages
Inexpensive.	Does not build community commitment.
Commands credibility.	Defines priorities of community leaders.
Planners can control the input.	

Method 3: Simple Ranking

Ranking is an easy technique for generating consensus within a planning, policy development or decision-making group. This technique is easy enough to be used by any citizen group mandated to complete a specific task. However, it tends to narrow the planning focus too severely to be used by comprehensive human service planners.

Step a: Present a comprehensive list of human problems to the group.
Step b: Ask individual group members to rank them according to importance on a scale of 1 to 5.
Step c: Tally the composite scores and present those scoring above very important to the group as the key issues for further analysis.

Advantages	Disadvantages
Quick technique for starting a discussion.	Hinders creativity. May eliminate discussion on an important problem. Does not build commitment. Reflects priorities of the individuals in the group.

Example

A city Manager receives a private donation to the city which must be spent on a program to reduce juvenile problems. He forms a citizen's advisory group and suggests that they meet twice in the next month and recommend ways for the city to spend these funds on juvenile programs.

The group meets, elects a chairperson and discusses the city's juvenile problems at great length. At the end of the first hour, the chairperson takes them through a simple ranking evercise which shows the juvenile alcoholism is the most important issue to the group. The second meeting is spent formulating a teen alcoholism program.

Source

Gunderstorf, J. Community Planning for Human Services. Durham, NH: New England Municipal Center in cooperation with HEW, 1977.

Appendix IV-D

Discussion Traps: Avoid Them

A discussion or meeting can be exciting and productive--or it can bore members and chairman alike. The outcome may depend upon how well members of the group perform leadership functions to avoid "discussion traps".

Slow Start - If group members have little knowledge of the meeting's purpose or if the leader's introductory statement is poor, a slow start results. Two useful rules to remember are: 1) distribute significant information about the topic to all group members before the meeting; 2)ask some member to prepare a careful introduction that clearly establishes goals.

A Few Participants Monopolizing Time - Because discussion involves a cooperative sharing of ideas, try to get as many opinions as possible. Although everyone need not participate equally, all members can be encouraged to participate by: 1) asking them to answer a question or to react to some comment 2) directing discussion away from anyone who wishes to dominate it; 3) establishing an informal atmosphere.

Wandering from the Problem - When a particularly interesting matter comes up or when a problem appears, people often discuss unrelated matters. To avoid time-consuming excursions away from the subject, all members should try to: 1) keep the meeting's purpose before the group; 2)frequently summarize the meeting's progress; 3) question the relevancy of all comments.

Interest Level Drops - An uninteresting discussion is seldom successful. To maintain interest throughout the meeting, everyone should: 1) be sure the discussion does not remain too long on a single point; 2) keep his contributions short; 3) use visual aids and examples when discussing difficult material; 4) help make physical surroundings comfortable.

Discussion Becomes Too Heated - Sometimes members will disagree in a disagreeable manner. This trap can be avoided if each member will: 1) assume that everyone acts in good faith when he speaks; 2) believe that all contributions are worth considering; 3) summarize the position being taken in words that make the viewpoint merit respect; 4) help members of differing viewpoints reach a mutually acceptable compromise.

Insufficient or Inaccurate Information- A good discussion depends upon significant and relevant information. Without such information, there is much disagreement but little progress. Facts and evidence should be provided as needed. All members should: 1) bring available resources to the meeting. 2) encourage members with special insights to attend; 3) bring out important information during the meeting by the use of questions. The problem of inaccurate information decreases as the amount of accurate material increases.

Too Long - Many people reach a low efficiency level after a short period of mental effort. Although even good discussions waste some time, efficiency can be achieved if: 1) the question considered is clearly understood by all members; 2) the subject area is divided into sections, and an estimate of time to be spent on each is announced; 3) frequent summaries are made to keep the group aware of general progress; 4) all group members are kept aware of the time problem; 5) signs of group agreement on various items are noted early. Most persons continue a discussion after reaching an agreement; 6) an informal summary of the whole discussion is prepared during the meeting. These notes are useful in preparing the final summary and in bringing the discussion to an end. The key to effective discussion rests with each individual group member. Each must recognize and accept leadership responsibilities.

Discussion traps will be avoided through:

- Planning
  - analyzing goals
  - planning the agenda
  - selecting participants
  - identifying and wording the question
  - preparing a pattern-outline
  - distributing resource materials
  - making physical arrangements
  - publicizing
- Introducing
- Guiding
- Regulating
- Summarizing

Source

Cashman, P. & Brown R., Communications Bulletin 15, University of Minnesota, Department of Information and Agricultural Journalism.

Appendix IV-E

Analysis: Grants and Contracts

Grants and contracts have their own characteristics and governing rules. The distinctions are important for bidding strategy. Organizations that are "for profit" will not be awarded grants by the government. Grants are generally awarded to the best proposal that efficiently achieves a congressionally mandated goal -- acquiring more information on the handicapped through research, for instance. Contracts are generally awarded to the most qualified bidder who can do a specific task at the lowest cost. The evaluation of a handicapped research grant would be let through a contract.

Many questions are asked that show misunderstanding about the distinction between grants and contracts. The confusion is hardly surprising, however, because of the many similarities between them, the slightly varying interpretations from one agency to the next, and the number of exceptions to every rule. Characteristics of grants and contracts have been compared in the chart below, pointing out where they are alike and where they are different.

As you can see, the table is filled with "generally" and "usually" and "most", and these weasel words make the distinctions between grants and contracts less clearcut than we'd like, but exceptions can be found in many cases.

Advance information is one example where the lines blur. RFPs are supposed to be competitive, with no discussion of the project after the RFP has been made available. If a potential bidder finds out about an RFP before it's issued, however, he can discuss it with the technical officers of the agency. And although grant applications are supposed to have open access to information and assistance, specific help with grant applications is actually illegal after the agency has released the guidelines.

Despite the "exceptions" and "weasel words", several clear cut distinctions do stand out: A grant recipient can never get a fee; all grants are awarded on a cost-reimbursement basis; in most agencies profit-making firms are excluded from receiving grants; contracts specify the services or products to be delivered and performance is more closely monitored; all cost-type contracts are audited; and, of course, RFPs are advertized in the Commerce Business Daily, grants programs in the Federal Register.

Characteristics	Contracts	Grants
Solicitation Document:	Request for Proposal (RFP)	Application Kit/Guidelines
Basis:	Agency need for specific service/product, sometimes a legislative requirement of the agency.	Usually the need of the recipient(s) program area. Almost always established by legislation.
Advance Information:	Not generally available in specifics.	Usually available during preparation of guidelines.
Advertized:	Commerce Business Daily (CBD)	Federal Register, Catalog of General Domestic Assistance

Characteristics	Contracts	Grants
Time to prepare proposal	Usually 30 to 45 days	Generally 60 to 90 days.
Eligibility:	Unrestricted unless specifically stated	Non profits only
Knowledge of money available:	Frequently stated in terms of number of person years.	Total number of dollars available to program is known.
Awards: No._____	Usually single	Usually multiple
Types_____	Fixed Price Cost Reimbursement Cost-plus fixed-fee Labor Hour Basic Ordering Agreement Time & Material Rarely cost-sharing	Cost Reimbursement only Often cost-sharing Never a "Fee"
Subcontracting:	Permissible unless specifically restricted.	Permissable unless specifically restricted.
Occurrence:	Most "one shot"	Most cyclical with applications due every year or up to 3 times a year.
Period of Performance:	Average 6-18 months, can be multi-year, contingent on performance and availability of funds.	One year or multi-year
Continuations/ Extensions:	Options to extend must be stated in RFP.	Some non-competing continuations if regualtions permit.
Deliverables: (reports, products, etc.)	Occur throughout performance period; specified by agency required for payment.	Usually some type of report(s) at the end of performance.
Performance Specification and Monitoring:	Tasks specified by agency, little flexibility over how to do them. Closely monitored with milestones. Time schedules important.	Applicant proposes to do something that matches agency's priorities/interests. Little monitoring.
Payment Schedule:	After costs incurred, monthly or quarterly	Quarterly, in advance.
Financial Control/ Audit:	Close control. All cost-type contracts audited.	Flexible control. Some projects audited.
Cancellation:	Default or Convenience of Government. Liquidated damages can be recovered for default if specified in contract.	Almost never cancelled. Less specification makes default almost impossible.

Source

Federal Grants and Contracts Weekly, 10/79.

Appendix IV-F

A Proposal Checklist

Checklist for Proposal Summary

- Belongs at the beginning of the proposal
- Identifies the grant applicant
- Includes at least one sentence on credibility
- Includes at least one sentence on problem
- Includes at least one sentence on objectives
- Includes at least one sentence on methods
- Includes total cost, funds already obtained, amount requested in this proposal
- Should be brief
- Should be clear
- Should be interesting.

Checklist for Proposal Introduction

- Clearly establishes who is applying for funds
- Describes applicant agency purpose and goals
- Describes agency programs
- Describes clients or constituents
- Provides evidence of accomplishment
- Offers statistics to support credibility
- Offers statements and/or endorsements to support credibility
- Supports credibility in program area in which funds are sought
- Leads logically to problem statement
- Is interesting
- Is free of jargon
- Is brief.

Checklist for Problem Statement

- Relates to purposes and goals of organization
- Is of reasonable dimensions
- Is supported by statistical evidence
- Is supported by statements from authorities
- Is stated in terms of clients or beneficiaries
- Is developed with input from clients and beneficiaries
- Is not the "lack of a method" (unless the method is infallible)
- Doesn't make assumptions
- Doesn't use jargon
- Is interesting to read.

Checklist for Objectives

- Describes problem-related outcomes of your program
- Does not describe your methods
- Defines the population served
- States the time when the objectives will be met
- Describes the objectives in numerical terms, if at all possible.

Checklist for Methods

- Flows naturally from problems and objectives
- Clearly describes program activities
- States reasons for selection of activities
- Describes sequence of activities
- Describes staffing of program
- Describes clients and client selection
- Presents a reasonable scope of activities that can be accomplished within the time allotted for program and within the resources of the applicant.

Time Charts

To provide a clear picture of program activities, some applicants include in their proposal a time chart describing program activities in a more organized fashion.

	Month 1	Month 2	Month 3	Month 4	Month 5	Month 6	Month 7	Month 8	Month 9		
1. Recruit new staff											
2. Pre-program training											
3. Meet with referral agencies											
4. Prepare client recruitment materials											
5. Finalize intake criteria											
6. Finalize training curriculum											
7. Recruit initial 50 clients											
8. Finalize client pre-test											
9. Administer pre-test to 50											
10. Conduct first workshop											

Setting forth tasks or activities in this fashion can be an aid to program planning. Without such a plan, certain necessary steps might be overlooked.

Checklist for Evaluation

- Covers product and process
- Tells who will be performing evaluation and how evaluators will be selected
- Defines evaluation criteria
- Describes data gathering methods
- Explains any test instruments or questionnaires to be used
- Describes the process of data analysis
- Shows how evaluation will be used for program improvements
- Describes evaluation reports to be produced.

Checklist for Future Funding

- Presents a plan to provide future funding if program is to be continued
- Discusses both maintenance and future program funding if program is for construction
- Accounts for other needed expenditures if program includes purchase of equipment.

Source

The Grantsmanship Center News, 1979.

Appendix IV-G

Approaches to Information Dissemination

AUDIENCE	METHOD														
	Public Meetings					Media							Personal Contact		
	Lecture	Seminar	Forum	Workshop	Speak-Out	Television	Radio	Newspaper	Professional Publications	Pamphlets & Brochures	Films & Slides	Posters	Telephone	Letters	Individual Contact
Senior Citizens															
- healthy active seniors															
- special target groups															
Funders, Aging Network Agencies															
Service Delivery Network															
Natural Support Network															
- friends, relatives, neighbors															
- churches, charitable agencies, volunteer groups															
- "gatekeepers"															
Local Government Officials															
Business and Professional Community															
Community Institutions															
Governing Board and Advisory Council Members															
Focal Point Staff															

Adapted from John B. Himelrick and Sherri S. Aitken, An Introduction to State Capacity Building, (Denver, Colorado: Education Commission of the States, 1976), p. 30.

Appendix IV-H

BROCHURES AND PAMPHLETS

Brochures and pamphlets respond to inquiries generated by TV/radio spots, press conferences, press releases, etc. When developing brochures, consider:

1. Is there a need for this brochure?
2. Will it answer inquiries frequently addressed to our group?
3. Will it be general enough to give the ideas we want to cover, yet specific enough to be useful?
4. Is the information contained "un-dated" enough to be useful for some time?
5. Have we included people or groups to contact for further information?
6. Have we researched our projected audience?
7. Are the materials readable, understandable, and of interest to our projected audience? (Do your research!)
8. Have we tried to cover too much in one brochure?

Source

Adapted from Publicity Tips, President's Committee on Employment of the Handicapped, Washington, D.C.

Appendix IV-I

Typical News Release

Oxford Elder Services
521 Main Street
East Oxford, Your State 90009

August 31, 1974
Doakes: OXford 0-0001
Home: OXford 0-0002

FOR IMMEDIATE RELEASE

The Oxford Elder Services today (Sept. 2) announced establishment of a dial-a-minibus service for the elderly.

The service will be operated by the Oxford Public Transit Authority in Oxford and East Oxford. By dialing OXford 0-1234 during business hours older citizens may arrange to be picked up the next day for transportation to clinics, hospitals, doctors, supermarkets, senior centers, and libraries.

The fare is 20¢ and is available to men and women who show Medicare, social security, or membership cards in senior centers.

It is made possible by a $24,000 grant to the Transit Authority from the U.S. Department of Transportation for the purchase of two minibuses and a $48,000 grant from Area Agency under title III of the U.S. Older Americans Act for operating expenses. There are nearly 40,000 people over 60 years of age in the area.

The Oxford Elder Services also supervises a nutrition project for the elderly under title VII of the Older Americans Act with funds allotted through the State Commission on Aging.

Further information on the transportation program and other activities of the Oxford Elder Services is available at its office, 521 East Main St., East Oxford, telephone OXford 0-0001. John Doakes is Director and Miss Ellen Roe, secretary.

--end--

Source
Adapted from Public Information Activities for State and Area Agencies on Aging, National Clearinghouse on Aging, AoA. Reprint by Tennessee Commission on Aging, 1976.

Appendix IV-J

Television Public Service Announcement

Oxford Elder Services
John J. Doakes, Director
521 East Main Street
East Oxford, Your State 90009
OXford 0-0001

SENIOR MINIBUS SERVICE

For use: Sunday, September 1,
through Sunday, September 15, 1974

SENIOR DIAL-A-MINIBUS SERVICE

Time: 30 seconds
Words: 65

VIDEO	AUDIO
Slide #_____ (Elderly woman on telephone)	ANNCR: If you're over 60, you can Dial-a-Minibus in the Oxford and East Oxford area. Phone the day before to arrange your trip from home to medical appointments, shopping, senior centers, or libraries at twenty cents round trip. You're eligible with social security, Medicare, or senior center cards. Dial-a-Minibus at OXford 0-1234. That's OXford 0-1234.
Slide #_____ (Same woman getting off bus with groceries)	
Slide #_____ (Dial-a-Minibus: OX 0-1234)	

Source

Public Information Activities for State and Area Agencies on Aging, National Clearinghouse on Aging, AoA. Reprint by Tennessee Commission on Aging, 1976.

Appendix IV-K

Radio Public Service Announcement

Oxford Elder Services
John J. Doakes, Director
521 Main Street
East Oxford, Your State 90009
Oxford 0-0001

FOR USE:
SEPTEMBER 2, 1974 TO
SEPTEMBER 16, 1974

SENIOR DIAL-A-MINIBUS SERVICE

Time: 10"

Words: 27 words

If you're over 60, find outabout half price transportation. Dial-a-minibus. Call OXford 0-0001 or OXford 0-1234.

Radio Public Service Announcement

Oxford Elder Services
John J. Doakes, Director
521 Main Street
East Oxford, Your State 90009
OXford 0-0001

FOR USE:
SEPTEMBER 2, 1974, TO
SEPTEMBER 16, 1974

SENIOR DIAL-A-MINIBUS SERVICE

Time: 30"

Words: 75 words

Oxford area residents over 60: If you have transportation problems, these numbers could help. Call OXford 0-0001 or OXford 0-1234 to Dial-a-Minibus and reserve low-cost, door-to-door transportation to medical appointments or shopping. You're eligible if you have social security, Medicare, or senior center cards. Remember, Dial-a-Minibus at OXford 0-0001 or OXford 0-1234.

Source

Adapted from Public Information Activities for State and Area Agencies on Aging, National Clearinghouse on Aging, AoA. Reprint by the Tennessee Commission on Aging, 1976.

Appendix IV-L

PREPARING TO SPEAK IN PUBLIC

You've been asked to give a speech. You're nervous about speaking in public. But, you know exactly what you want to convey, what facts you want to get across, what feelings you want to leave with your audience. You want to SPEAK OUT on behalf of older people.

You know that you want to do all of these things. But.....sometimes the idea of developing and presenting a good speech seems almost overwhelming. Unless you're a professional speaker, you've probably kicked yourself a few times for forgetting one item or another that goes into successful speech-making. We've developed these tips knowing that it's hard to remember everything.

BEFORE YOU BEGIN YOUR SPEECH

- First, know your audience! What are its interests? Hangups? Know something about who you'll be talking to so you can evaluate the best way to make your message clear to them.

- Speak to the person who invited you about your audience and fix the time, date, and place. Sometimes a group or organization will ask you to talk specifically on one subject. Sometimes, though, they don't know themselves exactly what they want from you. So, research your audience and keep in mind the basic objectives of your being there; what YOU want to accomplish.

- Get down to objectives. What do you want to accomplish through your speech? Write it down. Verbalize it. These are your marching orders, so to speak.

- Do your homework--do plenty of research, collect many more anecedotes, figures, facts, and background material than you'll need.

- Have a basic fact sheet which summarizes all the important information about the focal point and the community aging services system. Keep it up to date to enable you to answer queries with accuracy and confidence.

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[1] Adapted from Publicity Tips, President's Committee on Employment of the Handicapped, Washington, D.C.

ORGANIZING YOUR SPEECH

Once you've done the necessary research and jotted down some of the main ideas you want to include, it's time to make a speech outline. Here are some outlines that many successful speakers use:

- Give the background or history of a problem.
- Describe the current condition, rank, or standing.
- Discuss future possibilities.
- Explain what these possibilities mean in terms of your listeners' self interest.
- Suggest what can be done to correct the problem. Be specific with the facts and figures you use.

Or

- Describe resistance shown to new ideas.
- Explain reasons for resistance.
- Give detailed account of present status of new ideas.
- Disuss what you're doing to overcome resistance. Give case histories.
- Describe how your personal investigation points the way to overcoming resistance. Again, give case histories.
- Talk about future possibilities of your findings; about the urgency of the course of action to be taken now.

WRITING YOUR SPEECH

Once you've got your outline set up, you will want to divide your speech into three major parts: the introduction, the body, and the conclusion. The whole structure can be boiled down to: tell, Tell, TELL!

Introduction - Tell them what you're going to tell them! To get attention at the start, try one or more of these devices.

- Make an unusual statement.
- Refer to the current or special interests of your audience.
- Use an effective quotation.
- Ask a rhetorical question.
- Give an offbeat illustration.
- Compliment the group, if compliments are applicable.

The main thing is to get off to a good start, a start which quickly gets and retains the interest of your audience.

Tell them! In the body of your speech, you fill in all the vital points you want to make. The important thing is not to stray from your central idea. Subordinate points should add to, not detract from, attention to your central idea.

This can be handled in many ways. Examples: the way things were; the problems they created; the way things have been changed to solve that problem; or problems that have come up for certain reasons, and possible solutions to them; or straight historical presentation, starting at the beginning and going through to today. Some reminders:

- Say clearly what you want the audience to know, feel, do.
- Show why it's important for them to do so.
- Define terms which may not be clear.
- Repeat ideas to help make them stick.
- Include an occasional quote or story to illustrate your points.
- Use examples to show how your central idea works.

Conclusion - Tell them what you've told them! In the final part of your speech, you want to round out your points. It should bring home the whole purpose of your talk. Here are some ways you can end your speech without leaving your audience flat, without the unsaid, "That's all folks!" This is your final call for action, something that will reach people, send them away smiling, cheering, or whatever effect you want.

- Summarize the main points of your talk.
- Use an apt quotation.
- Add urgency to the action you want.
- Tell a good story.
- Repeat your main idea, briefly and convincingly.
- Stop.....after 25 minutes or so, at most.

EVALUATING YOUR SPEECH

Before you deliver your speech, you'll want to practice it a few times. You can practice by delivering it to your wife, your husband, a friend, or even your bathroom mirror. Keep a sharply critical eye on your method of delivery and the length of your speech. As you practice, jot down changes in wording until it comes out sounding natural. Write down phonetically words or names which have unusual pronunciation. Getting on the podium should not change your manner of speaking. You are not in a Shakespearean production. It is not necessary for you to shout or use expansive gestures. The microphone will do this for you. Be yourself.

Time your speech carefully to be sure that you are well within your allotted time. Keep it simple, sincere, and concise. To be immortal, your speech need not be eternal!

DELIVERING YOUR SPEECH

Arrive a few minutes before you are scheduled to speak. Speak forcefully and convincingly. By all means, try to stay calm. It's very unlikely that "hostile" questions will be asked, but if they are, answer matter of factly.

Smile frequently and enjoy yourself! And thank your host for having you there.

PUBLICITY

In writing and presenting a speech, one purpose is to get your information to as many people as possible. The best way to do this is through media

coverage. Your information is the "bait." Information does not end with your speech, however. In order to cover a news story, the media needs all the information available....about you, your organization, and your speech.

To have all this information available, it's an excellent idea to have a press kit ready. It should include:

- A press release of the highlights of your speech.
- A complete, typed copy of your speech.
- A one-page biography of yourself.
- A photo of yourself.
- A descriptive brochure or pamphlet of your organization.
- Any charts, graphs, or tables you used.

Good Luck!

SENIOR CENTER AND COMMUNITY FOCAL POINT
STAFF CAPACITY BUILDING PROJECT
ADVISORY COMMITTEE

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Cincinnati, Ohio

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Huntsville-Madison County Senior Center, Inc.
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Area XIV Agency on Aging
Creston, Iowa

Ann Lordeman
National Association of State Units on Aging
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Nancy Peace
Area Agency on Aging
Upper Cumberland Development District
Cookeville, Tennessee

Phyllis Pinkerton
East Central Illinois, AAA
Bloomington, Illinois

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Joseph Sheenan
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